A2070-9 F

Alternative Sources of Revenue in Academic Libraries

Mary Jo Lynch, *Project Director*

ALA Survey Report

American Library Association
Office for Research

ISBN: 0-8389-5742-0

Copyright © 1991 by the American Library Association.
All rights reserved except those which may be granted by Sections 107
and 108 of the Copyright Act of 1976.
Printed in the United States of America.

Table of Contents

List of Tables and Figures iv

Acknowledgments vii

Executive Summary 1

Introduction

- Background 3
- Questionnaire 4
- Sample 4
- Report 4

Results

- Overview 6
- Services, Sales, and Special Events 7
- Computerized Catalogs and Databases, Searching and Printing 10
- Fines and Replacement Charges 12
- Gifts and Grants 14
- Library Endowments 16
- Budget Summary 18
- Fund Raising-Financial Development 19

Conclusions, Comments, & Suggestions for Future Research 21

Tables 23

Annotated Bibliography by Carol Nielsen 56

Appendices

1. *Cover letters* 62
2. *Questionnaire* 64
3. *Technical Considerations* 68
4. *The Carnegie Classification of Institutions of Higher Education* 70
5. *Percent distribution of current fund revenues of 2-year and 4-year institutions by control, FY 1986* 71
6. *Liberal Arts College Libraries: A Comparison of Response from Public and Private Institutions by Larry Hardesty* 72

List of Tables and Figures

Tables

A1	Percentage of respondents offering selected services, sales, and special events	23
A2	Percentage of respondents that *offer* services, sales, and special events and *charge* for them	25
A3	Percentage of respondents that *offer* services, sales, and special events, *charge* for them, and *receive* funds	27
A4	Percentage of respondents reporting various dollar amounts from services, sales, and special events used for operating expenditures	29
A5	Percentage of respondents reporting funds received from services, sales, and special events as a percentage of operating expenditures	30
B1	Percentage of respondents offering searching and printing of computerized catalogs and databases	31
B2	Percentage of respondents that *offer* searching and printing of computerized catalogs and databases and *charge* for them	32
B3	Percentage of respondents that *offer* searching and printing of computerized catalogs and databases, *charge* for them, and *receive* funds	33
B4	Percentage of respondents that *offer* searching and printing of computerized catalogs and databases and *charge* for it where *students* receive *all* searching and printing free	34
B5	Percentage of respondents that *offer* searching and printing of computerized catalogs and databases and *charge* for it where *students* receive *some* searching and printing free	35
B6	Percentage of respondents using various dollar amounts from searching and printing of computerized catalogs and databases for operating expenditures	36
B7	Percentage of respondents reporting funds received from searching and printing of computerized catalogs and databases as a percentage of operating expenditures	37
C1	Percentage of respondents reporting that fines and replacement costs are assessed in library and available to library	38
C2	Percentage of respondents using various dollar amounts from fines and replacement costs for operating expenditures	39

C3	Percentage of respondents reporting funds received from fines and replacement costs as a percentage of operating expenditures	40
D1	Percentage of respondents receiving dollars from various sources of gifts and grants	41
D2	Percentage of respondents receiving various dollar amounts from gifts and grants	42
D3	Percentage of respondents reporting funds received from gifts and grants as a percentage of operating expenditures	43
D4	Percentage of respondents reporting gifts and grants by approximate dollar amount from source	44
E1	Percentage of respondents with various dollar amounts in a library endowment(s)	45
E2	Percentage of respondents receiving various dollar amounts of interest from library endowment(s)	46
E3	Percentage of respondents reporting funds received from interest on endowment(s) as a percentage of operating expenditures	47
F1	Percentage of respondents with operating expenditures in various ranges	48
F2	Institutional practice regarding how funds from alternative sources are received by library	49
F3	Percentage of respondents reporting various dollar amounts of revenue from all alternative sources used for operating expenditures	50
F4	Percentage of respondents reporting income from all alternative sources as a percentage of operating expenditures	51
F5	Perception regarding whether allocation from parent institution was reduced in last three years because of revenue from alternative sources	52
G1	Percentage of respondents involved in fund raising in past three years and purpose of fund raising	53
G2	Percentage of respondents with staff paid to work on fund raising from the *library* budget	54
G3	Percentage of respondents with staff paid to work on fund raising from the *institutional* budget	55
T1	Mailout and Useable Response - Preliminary	69
T2	Mailout and Useable Response - Final	69
T3	Summary of Carnegie Classification	70

Figures

1	Percentage of respondents reporting various dollar amounts from services, sales, and special events	9
2	Percentage of respondents offering searching of computerized catalogs and databases, by Carnegie category	11
3	Percentage of respondents offering searching of computerized catalogs and databases, by type of source	11
4	Percentage of respondents using various dollar amounts from searching and printing of computerized catalogs and databases	12
5	Percentage of respondents using various dollar amounts from fines and replacement costs	13
6	Percentage of respondents receiving dollars from various sources of gifts and grants	14
7	Percentage of respondents receiving various dollar amounts from gifts and grants	15
8	Percentage of respondents with various dollar amounts in a library endowment(s)	16
9	Percentage of respondents receiving various dollar amounts of interest from library endowment(s)	17
10	Percentage of respondents with operating expenditures in various ranges	18
11	Percentage of respondents reporting various dollar amounts of revenue from all alternative sources	19
12	Percentage of respondents reporting income from all alternative sources as a percentage of operating expenditures	20
13	Percent distribution of current fund revenues of four-year institutions, by control: Fiscal Year 1986	71
14	Percent distribution of current fund revenues of two-year institutions, by control: Fiscal Year 1986	71

Acknowledgements

Thanks are due to many people who helped in the creation of this report. Funding from The H.W. Wilson Foundation covered many of the costs. Respondents in academic libraries took the time to respond to a very complex questionnaire that, in many cases, could not be completed without consulting several people on the library staff. Many respondents also responded graciously to follow-up phone calls necessary to clarify or complete their initial response. We are especially grateful to the 25 librarians who participated in the first or second pretest and especially to the 14 librarians who participated in both. This report was possible only because pretesters and respondents were willing to help. It is truly a cooperative venture and speaks well for the academic library community.

An excellent advisory committee provided advice, assistance, and encouragement at all stages of the project. Members were Anne Beaubien, Chair, University of Michigan; Bob Almony, University of Missouri; Paul DuMont, Dallas County Community College District; Larry Hardesty, Eckerd College; and Kathy Tomajko, Georgia Institute of Technology. Duane Webster, Executive Director of The Association of Research Libraries (ARL), sent a special memo to ARL members asking them to cooperate. Katy Sherlock and her staff at the University of Illinois Library Research Center managed the data collection and analysis with characteristic skill and integrity. Laura Schulte created text and tables in Wordperfect 5.1 and printed them on a QMS-810 Laser Printer. Dianne Rooney of ALA Publishing Services provided advice on design as did Dan Lewis who also created the graphics.

Executive Summary

In April 1990, a four page questionnaire was mailed to a sample of over 800 academic libraries stratified by the four basic categories in *A Classification of Institutions of Higher Education* published by the Carnegie Foundation for the Advancement of Teaching. Respondents were asked to describe their revenues in the most recent fiscal year, from five possible "alternative" sources of revenue: Services, Sales, and Special Events (Tables A1-A5); Computerized Catalogs and Databases, Searching and Printing (Tables B1-B7); Fines and Replacement Charges (Tables C1-C3); Gifts and Grants (Tables D1-D4); and Library Endowments (Tables E1-E3). Results are summarized below. The numbers in parentheses signify the table(s) summarized.

General

1. Some libraries in each of the four Carnegie categories get *some* revenue from each of the five alternative sources. (A4, B6, C2, D2, E2)

2. Doctorate-granting institutions are most likely to get some revenue from each of the five sources and are most likely to get larger amounts of revenue from any source. (A4, B6, C2, D2, E2)

3. The total amount of revenue from all alternative sources varies widely by Carnegie category. Respondents reporting more than $10,000 from these sources were 93% of doctorate-granting institutions, 56% of comprehensive institutions, 35% of liberal arts institutions, and 24% of two-year institutions. (F3)

4. The percentage of operating expenditures coming from alternative sources is more than 1% but less than 10% in most institutions. Public two-year schools are least likely to report income from these sources. (F4)

Services, Sales, and Special Events

5. Many academic libraries charge users for various services, sales, and special events. (A2) Practices vary, however, with the user and the situation in the same library and in different libraries. Sixty-four percent of doctorate-granting institutions reported more than $10,000 from this source. On the other hand, only 4% of two-year schools reported amounts that large. (A4)

6. In many cases, libraries do not receive the funds but pass them on to another agency or to the parent institution. (A2, A3)

7. The vast majority of libraries in comprehensive, liberal arts, and two-year institutions receive either nothing or less than $10,000 a year from services, sales, and special events. (A4) In most cases, the amount is less than 1% of their operating expenditures. (A5)

Computerized Catalogs and Databases, Searching and Printing

8. Many academic libraries offer online catalog searching, remote database searching, and CD-ROM searching and some also offer searching of locally mounted tapes. The percentage of respondents offering these services varies, with doctorate-granting institutions showing the highest percentages for all four services. (B1)

9. Of the four computerized services, most academic libraries charge only for remote database searching. (B1) Funds are not always received by the library, however. The percentage of

respondents reporting that they receive the funds (B3) is lower than the percentage that charge (B2) by at least twelve percentage points in all Carnegie categories and lower by nineteen points for comprehensive institutions. Students often get some or all searching free. (B4, B5)

10. The vast majority of academic libraries receive either nothing or less than $10,000 a year from searching and printing of computerized catalogs and databases. (B6)

Fines and Replacement Charges

11. Fines are charged in the majority of academic libraries. In over half of the libraries, however, fine monies are not available to the library. (C1)

12. Replacement costs are an even more common charge. In this case, the dollars are often available to the library. (C1)

Gifts and Grants

13. Doctorate-granting institutions are more likely than those in other Carnegie categories to receive gifts and grants from any of the nine sources listed on the questionnaire. (D1)

14. Gifts and grants were more likely to be a source of $10,000 or more than any other of the five types of alternative sources studied (A4, B6, C2, D2, E2) and more likely to constitute more than 1% of operating expenditures. (A5, B7, C3, D3, E3)

Library Endowments

15. Seventy-five percent of responding libraries in doctorate-granting institutions reported having an endowment but endowments were reported by only 40% of comprehensive institutions, 27% of liberal arts colleges, and 9% of two-year colleges. (E1)

16. Most library endowments are less than $1 million. However, 32% of respondents in doctorate-granting institutions reported endowments of more than $1 million. (E1)

17. Only 2% of two-year institutions reported revenue of over $10,000 from interest on endowment(s). Amounts of that size were reported by 54% of doctorate-granting institutions, 12% of comprehensive institutions, and 14% of liberal arts institutions. (E2)

18. Endowment interest constitutes more than 2% of operating expenditures in 18% of doctorate-granting institutions, 8% of comprehensive institutions, 17% of liberal arts colleges, and 2% of two-year colleges. (E3)

Fund Raising - Financial Development

19. Well over half of doctorate-granting institutions were involved in some kind of library fund raising in the three years preceding Spring of 1990 but considerably fewer institutions were so involved in the other Carnegie categories. (G1)

20. The percentage of institutions reporting the presence of professionals devoted to library fund raising is relatively small for all Carnegie categories except doctorate-granting institutions. Even for those institutions, only 49% reported such a person paid from the library budget and only 36% reported someone paid from the institutional budget. (G2, G3)

Introduction

Background

In 1987, the American Library Association (ALA) published a report on *Non-Tax Sources of Revenue for Public Libraries* prepared by the ALA Office for Research (OFR). Work on that study was supported by a grant from The H.W. Wilson Foundation which was asked, in 1989, to support a similar study of academic libraries. The need for that study had been anticipated in the first proposal and funds were included to bring a representative of the Association of College and Research Libraries (ACRL) to meetings of the advisory committee. That representative, Anne K. Beaubien, recommended to the ACRL Executive Board that a task force be appointed to prepare for an academic library study. The proposal for that study was written jointly by OFR and ACRL. When funds were awarded, ACRL's Task Force on Alternative Sources of Revenue in Academic Libraries was expanded and became the Advisory Committee to the project.

Both studies were done in response to a report of the National Commission on Libraries and Information Science (NCLIS) on "The Role of Fees in Supporting Library and Information Services in Public and Academic Libraries." That report, published in the Spring of 1985, was a summary of the arguments for and against fees and a review of the few existing studies that documented the extent of fee charging in libraries. One of the several recommendations of the NCLIS report was that more data be gathered on "who is charging fees and for what services."

In response to that report, the ALA Office for Research, with advice from the ALA Committee on Research, drafted a proposal to gather data on fees in public libraries. When the draft proposal was discussed with several experts at ALA's 1986 Midwinter Meeting, it became clear that a broader study would be more useful to the library community and interested others. The proposal was revised, therefore, so that the focus of data collection was on *all* sources of income other than tax dollars, not just on fees. The study of academic library finances also has a broad focus.

The academic library study is different from the public library study in several ways. For one thing, the finances of academic libraries are more closely interrelated to the finances of their parent institutions than are the finances of public libraries. Secondly, over 50% of the parent institutions of academic libraries are private (see Appendix 4) and receive over 80% of their funding from non-tax sources (see Appendix 5), whereas it is primarily tax supported agencies that fund public libraries. Thirdly, although national data existed showing the percent of public library receipts from various sources, there was no data of that nature for academic libraries. Only their expenditures were monitored by the National Center for Education Statistics (NCES)[1] and by the Association of Research Libraries (ARL)[2].

The statistics most useful in framing this study were found in a report on "Current Funds Revenues and Expenditures in Institutions of Higher Education: Fiscal Years 1983-1986." Figures 13 and 14 in Appendix 5 are based on that report. It illustrates the complexity of higher education finance where patterns differ

---

[1] The most recent report containing this data is *Academic Libraries: 1988* (NCES, 1990)

[2] The most recent report containing this data is *ARL Statistics, 1989-90* (ARL, 1991)

widely between public and private institutions and between four-year and two-year institutions. We assumed that academic libraries receive an allocation from the parent institution consisting of funds from any or all of the five types of sources in Appendix 5. We did not expect librarians to know the make-up of that allocation. What we wanted to know was the amounts and sources of any funds received by the library through its own effort.

Questionnaire

The seven-part questionnaire was first developed in the Fall of 1989 and went through two pretests before it was mailed to 813 institutions in April 1990. Although many changes were made as a result of those pretests, the basic structure of the questionnaire remained the same. It began with two notes that influenced all responses:

1. Please answer all questions for the most recently completed fiscal year in your library.

2. Please report for the library that you direct, plus all other libraries reporting to you.

Parts A-E asked about five different sources of revenue: A. Services, Sales, and Special Events; B. Computerized Catalogs and Databases, Searching and Printing; C. Fines and Replacement Charges; D. Gifts and Grants; E. Library Endowments. For each source the first question asked for information about local practices and the second question asked the respondent to estimate the dollar amount from the sources used for the library's operating expenditures in the most recently completed fiscal year. Since respondents replied in April and May 1990, it can be assumed that the data are from the 1988/89 academic year.

Part F of the questionnaire, Budget Summary, asked for total operating expenditures and asked if dollars from alternative sources are received in addition to an allocation from the parent institution or as part of that allocation. Section G, Fund Raising-Financial Development, asked about the existence and purpose of fund raising and about personnel devoted to it. Section H asked for additional comments that would help us understand a particular response or the topic in general.

Sample

The sample was selected using the structure originally developed in 1973 by The Carnegie Foundation for the Advancement of Teaching and revised in 1976 and again in 1987. The Carnegie classification groups colleges and universities by their missions and educational functions and is widely used by scholars and researchers. (See Appendix 4 for a description of this classification.) Virtually all doctorate-granting institutions were asked to respond because it was expected that they would be most likely to have substantial revenues from alternative sources. Six hundred additional institutions were selected randomly--two hundred from each of three other Carnegie categories: "Comprehensive Colleges and Universities," "Liberal Arts Colleges," and "Two-Year Institutions." Appendix 3 provides additional technical detail about the sample and response.

Report

Chapter 2 describes what was learned about alternative sources in general and about the topic of each

section of the questionnaire. It includes several figures that highlight key findings. Chapter 3 presents our conclusions and suggestions for additional work.

The tables which follow Chapter 3 summarize the findings using percentages to show the frequency of each occurrence in terms of the total number of respondents in each Carnegie category. Each table has eight columns:

1 Doctorate-granting - Public
2 Doctorate-granting - Private
3 Doctorate-granting - Total
4 Comprehensive - Public
5 Comprehensive - Private
6 Comprehensive - Total
7 Liberal Arts - Private
8 Two-Year - Public

The third, sixth, seventh, and eighth columns are shaded because all comparisons in the text and graphics are based on those four columns. The percentages represent the total number of respondents in the category. Because the amount of nonresponse to specific items was rarely more than 1%, we did not show it. All percentages were rounded and amounts of less than 1% are shown only as "<1%."

This report does not include statistical analyses beyond tabulation but the data set is available for additional analysis. Requests for this data should be addressed to the ALA Office for Research.

Results

Overview

It may be useful to begin by discussing some fundamental concepts underlying this survey. The first five sections of the questionnaire (A-E) asked about different "alternative" sources of revenue. In the early stages of questionnaire development, we thought we had included all alternatives and thought that what they were alternative to was support from the parent institution. We were not quite right on both counts. In some institutions, all funds come to the library through an "allocation" from the parent institution even if they are funds raised by the library in one of the five ways covered by this questionnaire. Many libraries in such institutions told us that they must estimate expected revenues ahead of time for budgeting purposes and may not spend more than the estimate even if more money is received. Table F2 shows how funds from alternative sources are received in responding institutions.

We also learned that there may be sources of revenue for the library that are not an appropriation but do come from the parent institution. The librarian at one large state university told us that about 12% of the library's revenue comes from other departments of the university through special subsidies or payments. The money is not an allocation but it does come from the parent institution. This is just one example of the many unanticipated financial arrangements that we learned about in the course of the study.

Another fundamental concept underlying this survey is the idea of operating expenditures. Our objective was to discover, for a single fiscal year, the role played by alternative sources in covering the costs of an academic library's programs and services. We were not interested in expenditures for capital improvements which were defined as follows in the latest edition of the NISO standard for library statistics:

> Funds expended for the acquisition of or additions to fixed assets such as building sites, new buildings and building additions, new equipment (including major computer installations), *initial* book stock, furnishings for new or expanded building, and new vehicles. This excludes replacement and repair of existing furnishings and equipment, regular purchase of library materials, and investments for capital appreciation.[3]

This definition was not on the questionnaire but was used as a guide in telephone follow-up.

After observing confusion in the first pretest, we put the following definition of operating expenditures on the questionnaire used in the second pretest:

> The current and recurrent expenditures necessary to the provision of library service, such as personnel, library materials, binding, supplies, repair or replacement of existing furnishings and

---

[3] *American National Standard for Library & Information Sciences and Related Publishing Practices - Library Statistics*. New York: American National Standards Organization, 1983, p.20. The words in parentheses were added at a later time, unofficially.

equipment, and cost incurred in the operation and maintenance of the physical facility (if covered in the library budget).[4]

Respondents told us, however, that local campuses use different definitions. For example, some separate personnel from operating and others consider expenditures for books and periodicals as capital expenditures. The respondents in such institutions had to recalculate, using our definitions, in order to respond appropriately.

Another difficulty is that people did not always think of the expenditures required to offer some of the services listed in Section A and B as "operating expenditures." Nor did they always think of expenditures or projects funded by monies listed in Sections C, D, and E as operating expenditures. Because something is not a "regular" part of library service or because a project is funded for just one year, the expenditures were not considered part of operating expenditures. For the final questionnaire, a second sentence was added to the definition of operating expenditures to clarify what was wanted: "Include expenditures involved in offering services described in Sections A and B and special projects funded by sources mentioned in Sections C through E."

We are reasonably certain that many respondents had no trouble with this definition either because their returns were clear enough that no follow-up call was required or because the respondent said so during a follow-up call. Other respondents did have trouble with the definition but adjusted their figures to it or told us how to do so during a follow-up call. Since we did not call everyone, we do not know how many respondents did not adhere to this definition. We expect that some did not, given the variety of practices in academic libraries. We believe that this definitional issue is not a serious threat to the usefulness of this data but recognize that it makes our findings less than definitive.

A. Services, Sales, and Special Events

Questionnaire

The first section of the questionnaire is the one that changed most from the first pretest to the final instrument. We began by developing a list of items that we knew were a source of revenue in at least some academic libraries. The first pretest asked for the "amount collected" and "amount available" from each of the items "after direct costs had been covered (e.g., payments to vendors, to other libraries)." Pretest respondents were either unable to give us the figures or unwilling to do the considerable work involved. They often told us that the amount involved was too small for separate record keeping.

In the second pretest, we dropped the request for amounts after deciding to shift from a focus on getting exact dollars to a focus on finding out what general practices are regarding alternative sources of revenue. Instead of asking respondents to report amounts, the questionnaire asked respondents to circle their "estimation" of charges for the item "in relation to the direct cost of offering the service." Direct costs were defined as: "Those costs readily attributable to a specific activity. Usually included under this heading are such costs as personnel, equipment, materials, and supplies." Many respondents could not make this kind of estimate as they had never calculated the direct costs of the items on the questionnaire.

---

[4] *Ibid*, p. 26. The words in parentheses were added by the project Advisory Committee.

In the final version, we dropped the concept of direct costs. For each item, the respondent was asked to indicate only three things: is the item available, are charges ever made, and if so, which of the three possibilities is the campus practice regarding charges (library receives these funds, library does not receive these funds, neither of the above). The third possibility was needed because pretests revealed that practice is often mixed with regard to a single item (e.g., a library may get all the money from certain photocopy machines in the library and whereas a vendor gets money from others). We did not attempt to capture the many different patterns that exist even though many respondents added notes to the questionnaire about items in Section A. This was true not only about practice regarding where the money goes but also about the variety of practices regarding when or to whom charges are made (e.g., charges made for interlibrary loan only if the other library makes a charge, or AV production done only for faculty). We did not try to analyze all the notes added to questionnaires but did use them if there was a question about some aspect of the response. The reader should be warned, however, that a service may be available or charges made only under certain conditions. *Just because a library charges for something does not mean it charges everyone or at all times.*

It is also important to note that the questionnaire was worded so as to capture services offered in the library but by an agent outside the library. Thus a service could be available in a library and charged for but the agency charging is not the library.

Section A of the questionnaire ended with three spaces where respondents could list "other charged items." Only 50 respondents made additions and items listed were quite diverse, ranging from "painter hats" to "disk reformatting." Publications of various kinds were mentioned most frequently (nine times). Also mentioned often were posters (five times), royalties (three), and binding service (three).

Results

Table A1 shows the percentage of respondents in each of the four Carnegie categories offering each of the twenty-one services, sales, and special events in Section A of the questionnaire. The items offered by over 90% of institutions in all four Carnegie categories were "sending material to other libraries-monographs," "sending material to other libraries-journal articles," "obtaining material from other libraries-monographs," "obtaining material from other libraries-journal articles," and "photocopies and/or microform prints." Doctorate-granting institutions were the most likely to offer all items. The only item offered by less than 25% of these institutions was "T-shirts and mugs," which was offered by only 6%. That item was offered by an even lower percentage of respondents in the other three Carnegie categories. In addition, fewer than 25% of the respondents in those three categories offered "vending machines," "special events (e.g., concerts, dances, fairs, raffles)," and "used equipment." In one Carnegie category, liberal arts, fewer than 25% offered "workshops and/or teleconferences."

The relatively large percentage of respondents offering "on campus document delivery," especially in the doctorate-granting and two-year categories, was a surprise to the Advisory Committee. They agreed that what the phrase meant to them was delivery by the library of materials owned by the library to faculty members in their departments, but they wondered if the phrase "on campus delivery" meant the same to others. In order to find out, one member of the committee telephoned a sample of fifteen doctorate-granting institutions who reported offering the service and another called a sample of fifteen two-year institutions who offered it. Ten of the doctorate-granting institutions agreed with the committee's understanding of the phrase but four described it as one library delivering material to another and one had another interpretation. The majority of two-year institutions called indicated that they do not deliver documents to specific faculty members. They do, however, deliver nonprint materials and equipment to the classrooms.

The percentages for all items are lower on Table A2, which shows how many respondents offer each service *and charge for it*. The most likely item to be charged for is "photocopies and/or microform prints." The least likely item to be charged for is "computer software." In almost all cases, the percentage offering and charging drops as one moves across the table from doctorate-granting to two-year institutions. The pattern is disturbed by more than five percentage points only by liberal arts institutions in the case of "borrowers cards," "special events," and "withdrawn or gift books." Two-year schools throw off the pattern by more than five points only for "workshops and/or teleconferences."

Charging is one thing but receiving the money is another. A comparison of Table A2 with Table A3 shows that, for all items in all four Carnegie categories, fewer respondents received funds (Table A3) than charge for the service (Table A2). In some cases, the drop in percentage points is dramatic, e.g., it drops by 50 points for "photocopies and/or microform prints" in public two-year institutions. Most differences between the two tables are much smaller, but the differences point out that *just because a library charges for something does not mean that it receives the money and can use it for operating expenditures.*

Services, sales, and special events are not highly lucrative for the majority of institutions but they do bring in some dollars for many. Table A4 and Figure 1 show that although 62% of two-year schools report no income from this source, only 35% of liberal arts colleges are in that position and only 32% of the comprehensive colleges and universities. The percentage drops to 18 for doctorate-granting institutions, 43% of which bring in over $50,000 a year from these sources. No two-year institutions and very few liberal arts colleges or comprehensive colleges are in the over $50,000 a year brackets. On the other hand, 6% of the doctorate-granting institutions bring over $500,000 a year from those sources. Of those nine institutions, six reported between $500,000 and one million; three reported over one million; and the highest reported figure was 1.2 million.

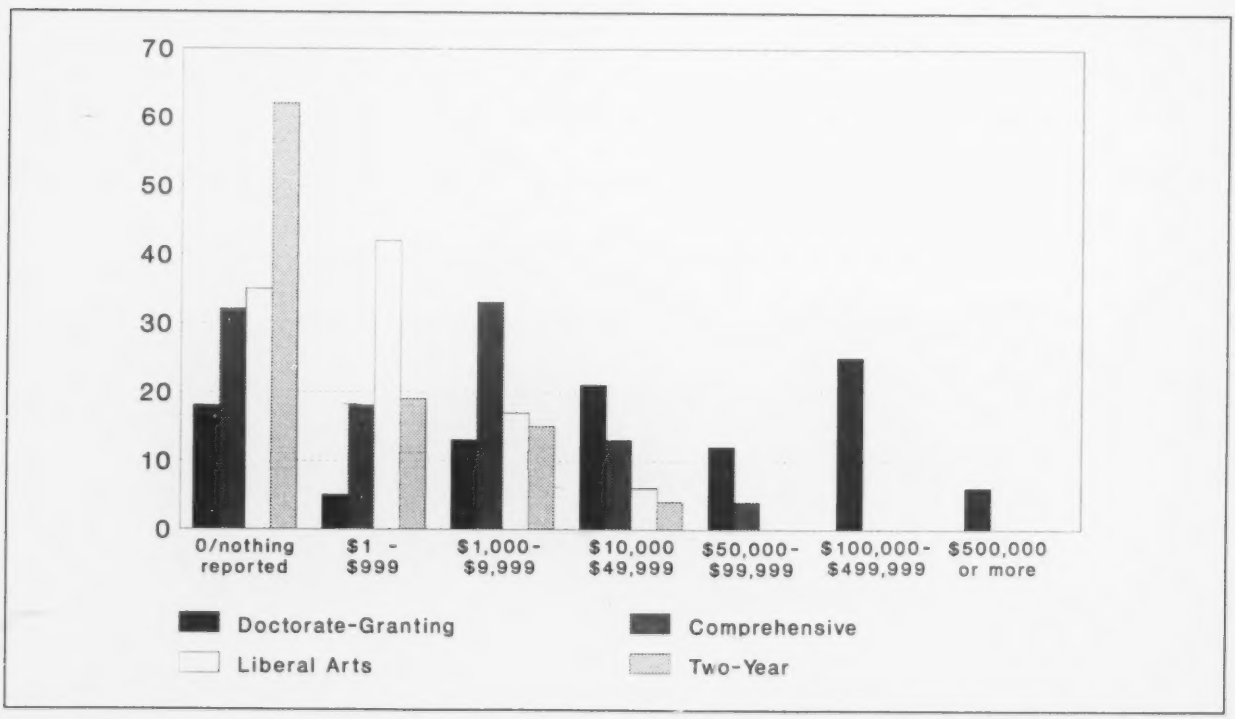

Figure 1. Percentage of respondents reporting various dollar amounts from services, sales, and special events

Table A5 reports on those dollars as a percentage of operating expenditures. Over 55% of the doctorate-granting institutions get either 0 or less than 1% of their budget from these sources but 8% of these institutions get more than 5%. For institutions in the other three Carnegie categories, over 80% of the institutions get either nothing or less than 1% of their budget from these categories and very few get more than 4%. Only in the doctorate-granting and comprehensive categories does any institution get more than 10% from these sources. In both institutions involved, the amount was less than 11%.

B. Computerized Catalogs and Databases, Searching and Printing

Questionnaire

In the early drafts of the questionnaire, some of these items were included in Section A. Eventually, however, we decided to expand our questions in this area and to put them in a separate section. We did that because the items in this section are widely perceived as the most recent and innovative of library services, because charging for them has been controversial, and because we wanted to know if students are given special privileges in this area.

As expected, the most frequently charged for item in this section is remote database searching. It should be noted that many respondents reported putting payments for such services directly into an "off budget" or "revolving" account used to pay the vendor and claimed it never played a role in the operating expenditures of the library. Many respondents told us that those dollars are not reported here. We also learned that some of our respondents operated totally separate fee-based search services from which all costs, including indirect costs, were paid by clients. Again, they told us that those dollars are not reported here. Because of the variety of charging and accounting practices that were reported, we are not entirely confident in our data about revenue from this service. The matter is complex and requires a separate study.

Results

Table B1 shows the percentage of respondents in each Carnegie category offering searching and printing of four different kinds of computerized catalogs and databases. The percentage reporting searching is represented two different ways by Figure 2 and Figure 3. The bars in Figure 2 show the extent to which different Carnegie categories offer the four kinds of searching. On Figure 3, the bars show the extent to which each of the four kinds of searching is offered within each Carnegie category. These figures present a unique summary of the extent to which these technologies were being used in different sectors of the academic library community in the Spring of 1990.

Table B2 shows the percentage of respondents that offer *and charge for* each service. The contrast with table B1 is striking in that most institutions do not charge except for remote database searching and printing. A comparison of those two items on Table B2 and Table B3 shows that a number of those who do charge, do not receive the dollars. The difference is at least ten percentage points except for one case--printing in two-year institutions--where it is only 9 points.

Tables B4 and B5 show the extent to which, in institutions that do charge, students get some or all service free. Because the percentage charging for the other three services is so low, only remote database searching and printing is of much interest. Comparing percentages in Table B2 in each category (institutions that offer and charge) with percentages in B4 and B5 reveals that, in all four Carnegie categories, more than half of the institutions give students some or all service free.

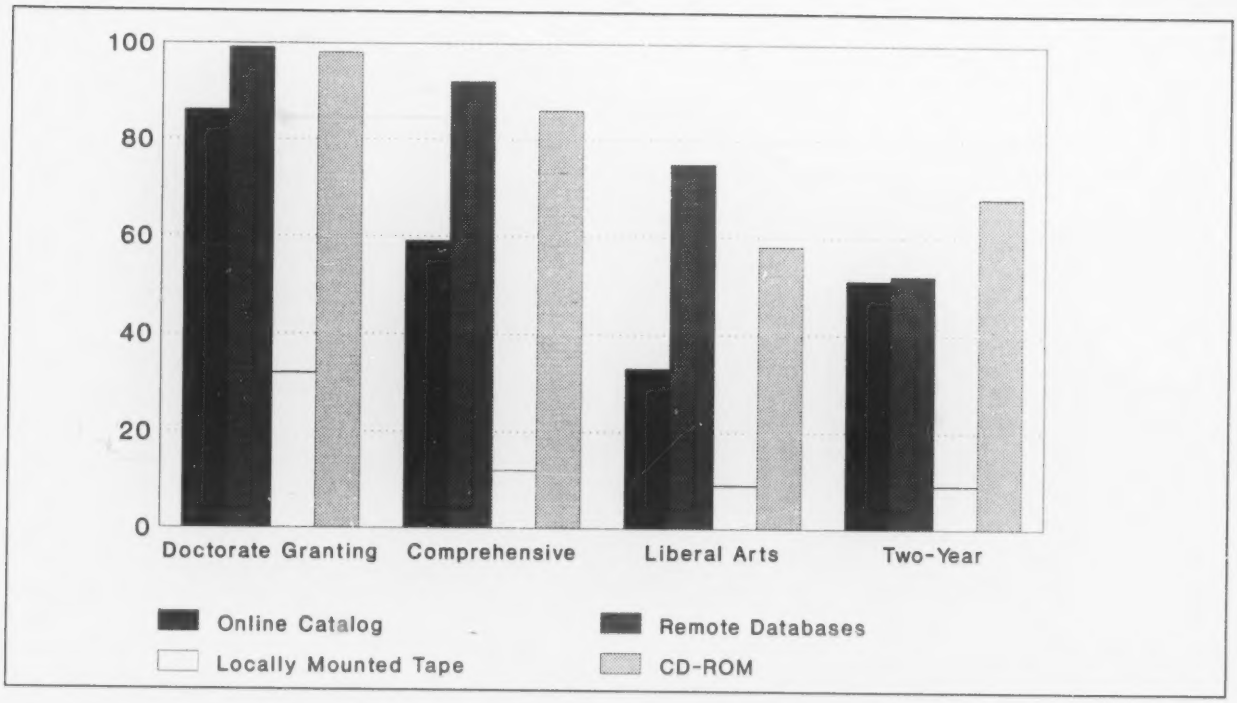

Figure 2. Percentage of respondents offering searching of computerized catalogs and databases, by Carnegie category

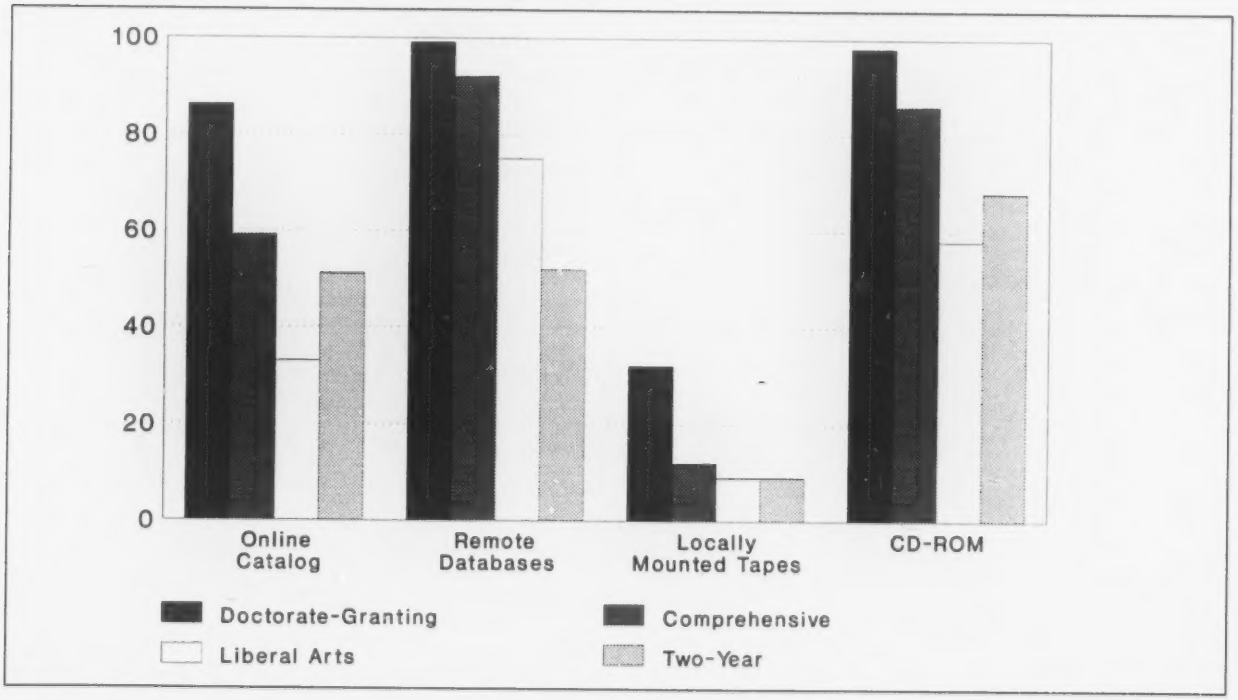

Figure 3. Percentage of respondents offering searching of computerized catalogs and databases, by type of source

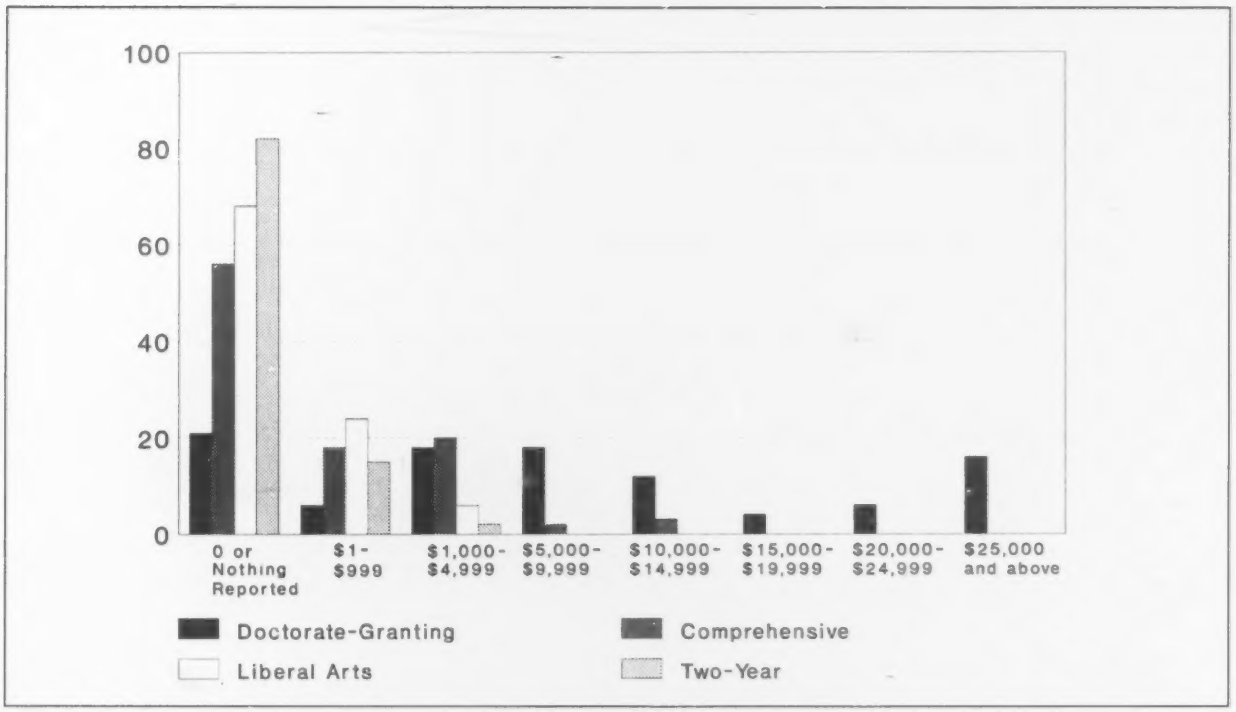

Figure 4. Percentage of respondents using various dollar amounts from searching and printing of computerized catalogs and databases

Table B6 and Figure 4 show that very few dollars are available to the library from charges for computerized searching and printing. The percentage reporting nothing at all from these sources is higher in each Carnegie category than for services, sales, and special events and again the percentage rises as one moves across the table from doctorate-granting to two-year institutions. In the comprehensive, liberal arts, and two-year categories, few institutions reported more than $5,000. Fifty-six percent of the doctorate-granting institutions reported more than that amount and 16% reported more than $25,000. Of those 24 institutions, 14 reported less than $50,000 and three reported more than $100,000. The highest figure reported was over $279,000. Table B7 shows that this source is rarely 1% or more of an institution's total operating expenditures. The highest percentage was 4.8 in one of the comprehensive institutions.

C. Fines and Replacement Charges

Questionnaire

Section C of the questionnaire was fairly easy to construct and analyze. But follow-up interviews revealed a couple of complicating factors--where the money is paid and how much is involved. Some institutions circled both Y and N in the column headed "available to library?" When questioned some said that if students paid on time and in the library, the library kept the money. If the account became delinquent and had to be paid elsewhere on campus, the other campus office kept the money. At least one respondent reported that the library keeps revenue up to a set amount then gives the rest to the parent institution.

Results

Table C1 shows that fines are assessed in the majority of academic libraries. The lowest percentage is 75% in the two-year institutions whereas 98% of the doctorate-granting institutions charge fines. Keeping the money is another story. A comparison of the second row in Table C1 with the first row reveals that, in each Carnegie class, fewer than half of the libraries that charge fines are able to keep them. When called about some problem on their return, many respondents had stories to tell about fighting to get or keep those dollars. Replacement costs are different. Table C1 shows that over 96% of academic libraries collect money from that source and many are able to keep the money.

Table C2 and Figure 5 show that over half of the two-year institutions reported nothing from this source and none of them reported more than $10,000. Only 34% of the liberal arts institutions reported nothing from this source but very few reported more than $10,000. The percentage reporting nothing is higher for comprehensive institutions, 36%, but over 10% reported amounts over $10,000 and a few reported amounts of $20,000 or more. Only 24% of doctorate-granting institutions reported nothing from this source and 9% reported $100,000 or more. All but three of those were under $200,000; the highest was $273,400.

Table C3 shows that, where dollars were reported, they usually accounted for less than 1% of the operating expenditures. A small percentage in each Carnegie category reported amounts of 2% or more--total of 13 institutions. Eight of them received less than 4% from this source. The other five received between 6% and 16%; the two highest percentages were received by comprehensive institutions.

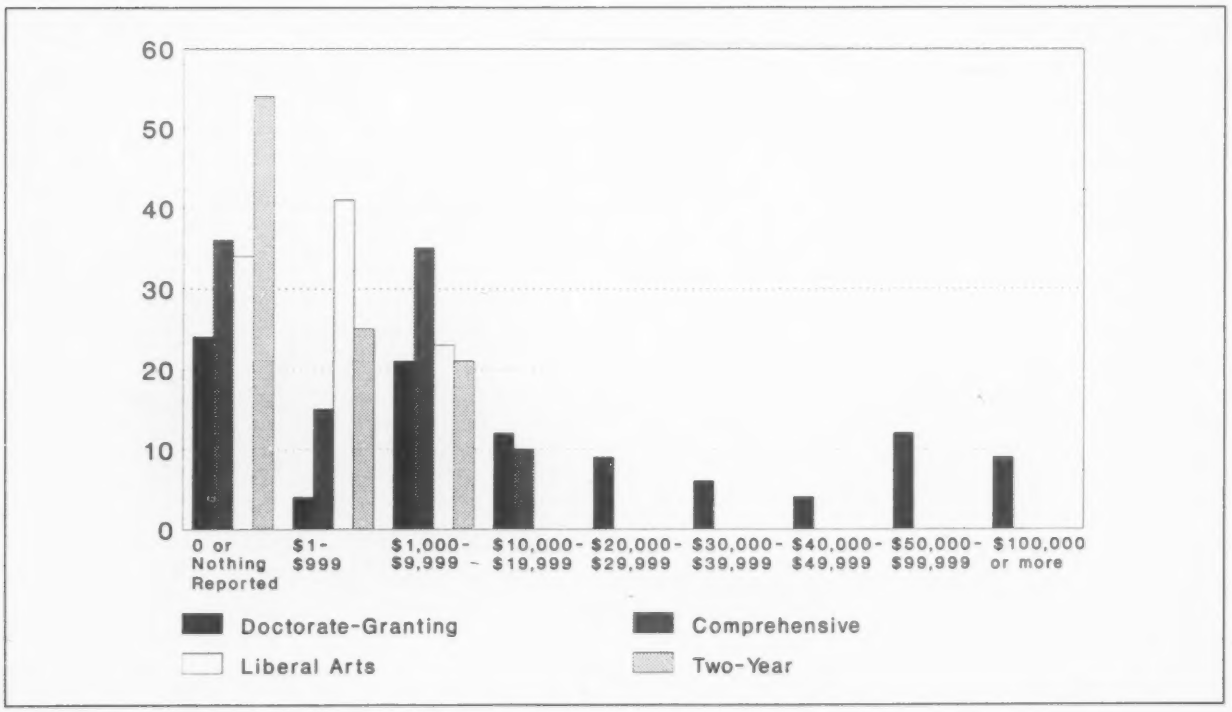

Figure 5. Percentage of respondents using various dollar amounts from fines and replacement costs

D. Gifts and Grants

Questionnaire

The first question in the next Section asked for the amount received in the most recently completed fiscal year from each of nine sources: "federal grants," "state grants," "foundation grants," "other grants," "institutional overhead from grants and contracts to other departments," "gifts from corporations (non-endowment)," "gifts from individuals (non-endowment)," "Friends of the Library," and "other." Unlike funds received from sources in Sections A, B, and C, these monies typically come in large amounts and exact figures are readily known. The second question asked "Of the amounts received from gifts and grants, estimate the dollar amount from these sources used for the library's operating expenditures in the latest fiscal year."

This is the Section that gave us the most trouble in connection with operating expenditures. We considered expenditures from gifts and grants not earmarked for capital items, as defined at the beginning of this chapter, to be operating expenditures but several respondents did not, as explained earlier. We believe we adjusted most of these cases through follow-up interviews but also recognize that our data are not definitive on this point because of the variety of local accounting practices.

Results

Table D1 and Figure 6 show that for all nine sources of gifts and grants, doctorate-granting institutions were much more likely to report revenue. For almost all of the nine sources, the percentage decreases as one moves across the table from doctorate-granting to two-year institutions and the bumps in the

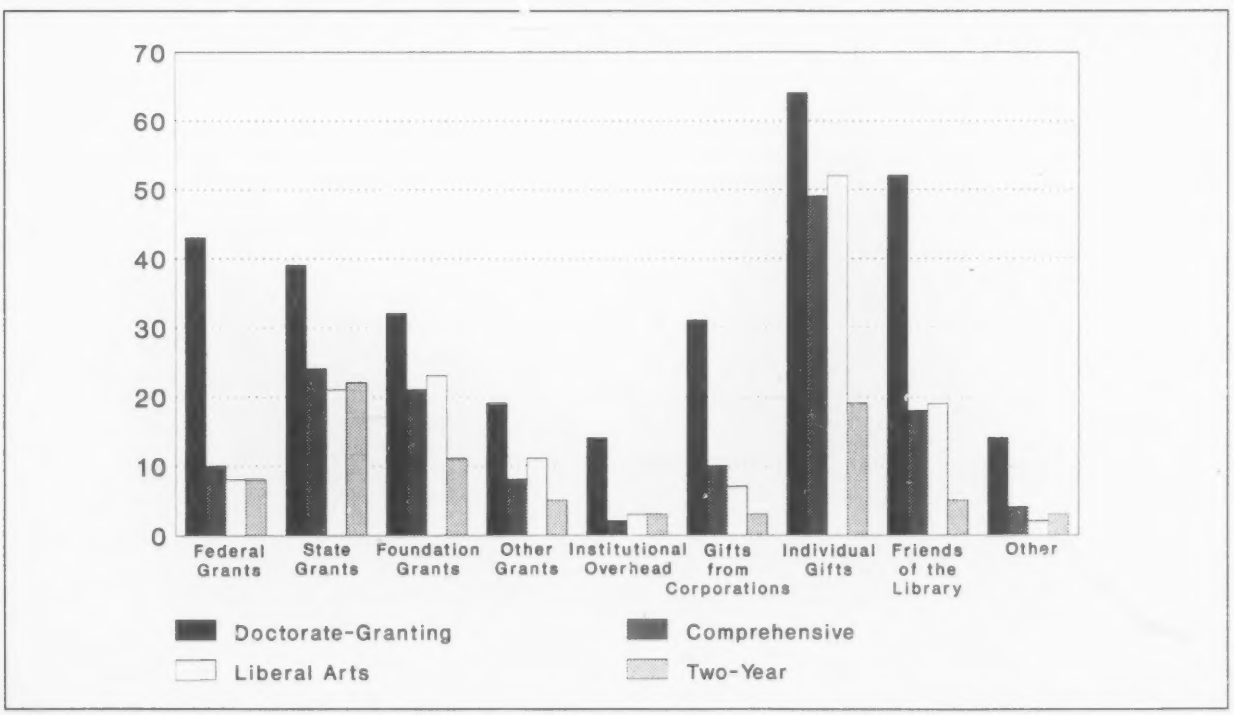

Figure 6. Percentage of respondents receiving dollars from various sources of gifts and grants

slope are minor. For three of the four Carnegie categories, the source reported most often was "gifts from individuals (non-endowment)." Only for two-year institutions was another source higher--state grants--but only by three percentage points.

Table D2 and Figure 7 show that 64% of two-year institutions reported nothing from this source. The percentage of liberal arts and comprehensive institutions reporting nothing was lower and very similar. Only 15% of doctorate-granting institutions were without revenue from these sources. Those institutions also report the largest amounts from this source. Over 25% of the doctorate-granting institutions reported more than $250,000 whereas very few in the other three Carnegie categories reported anything over that amount. Of the nine doctorate-granting institutions reporting over one million, eight reported less than two million and one reported 2.1 million.

Table D3 shows how those dollars contribute to operating expenditures. Whereas the percentages reporting nothing are the same as on Table D2, the spread of respondents across the rows of the table looks different from Table 2 because total operating expenditures are different in the four Carnegie categories. Combining the first two rows on Table D3, one notes that either nothing or less than 1% of operating expenditures is received from this source by 48% of doctorate-granting institutions, 60% of comprehensive institutions, 66% of liberal arts institutions, and 73% of two-year institutions. On the other hand, a small percentage in each Carnegie category reported 10% or more. For doctorate-granting institutions, the highest figure reported was 18%. In each of the other Carnegie categories there were a few institutions that were considerably higher. Telephone interviews with some of those respondents revealed a combination of low operating expenditures and one or two large grants.

Table D4 presents a different view of gifts and grants. It shows the number of respondents reporting any income from seven of the nine sources of gifts and grants, the percentage of those respondents in

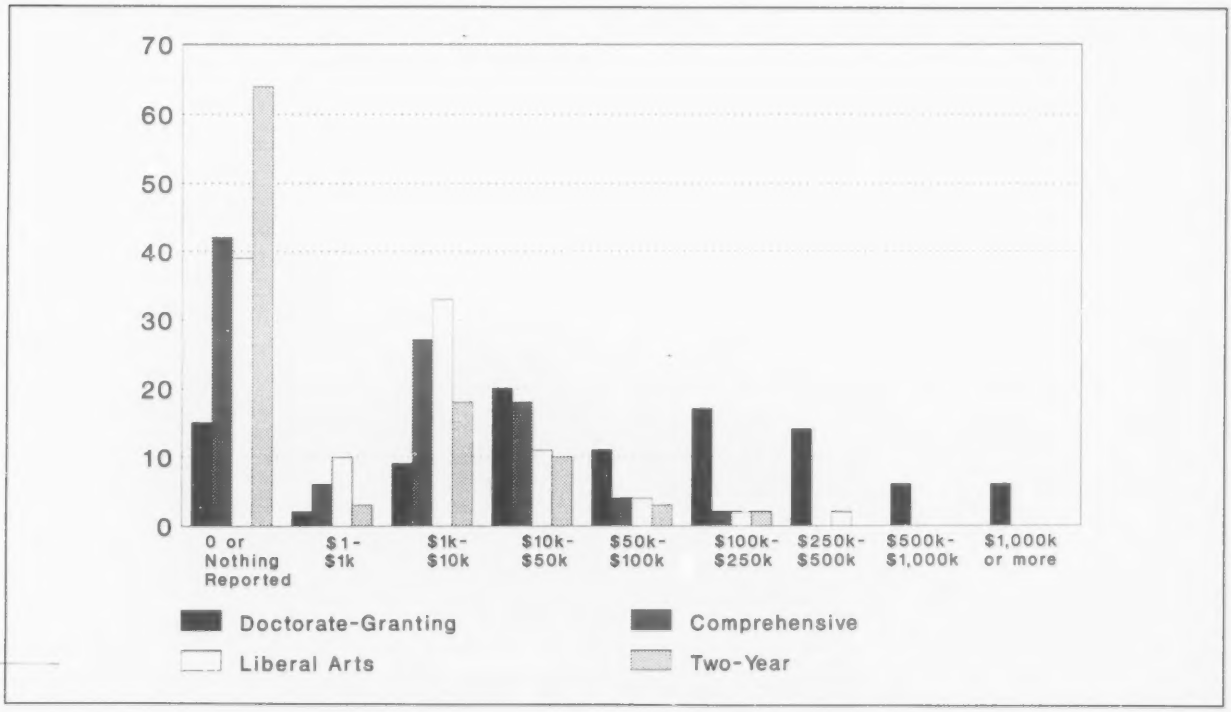

Figure 7. Percentage of respondents receiving various dollar amounts from gifts and grants

the doctorate-granting category, the range of dollars involved, and the percentage of respondents that reported less than $10,000, less than $50,000, less than $100,000, and less than $1 million from each source. (Excluded from Table D4 are "Institutional overhead" and "Other," the first because it is not a gift or grant to the library, per se, the second because it is unspecific.) Several observations highlight this table:

- Gifts from individuals is the most frequently reported source and gifts from corporations was mentioned least often.
- Federal grants and gifts from corporations were most likely to be reported by doctorate-granting institutions.
- Gifts from individuals included both the smallest amount and the largest amount (from $20 to $2,587,775).
- Most gifts and grants are for less than $100,000 and virtually all are for less than $1 million.

E. Library Endowments

Results

Table E1 and Figure 8 show that libraries in doctorate-granting institutions are much more likely to have endowments. The percentage reporting nothing from this source increases as one moves across the table from doctorate-granting institution to two-year institution. None of the latter reported any endowment

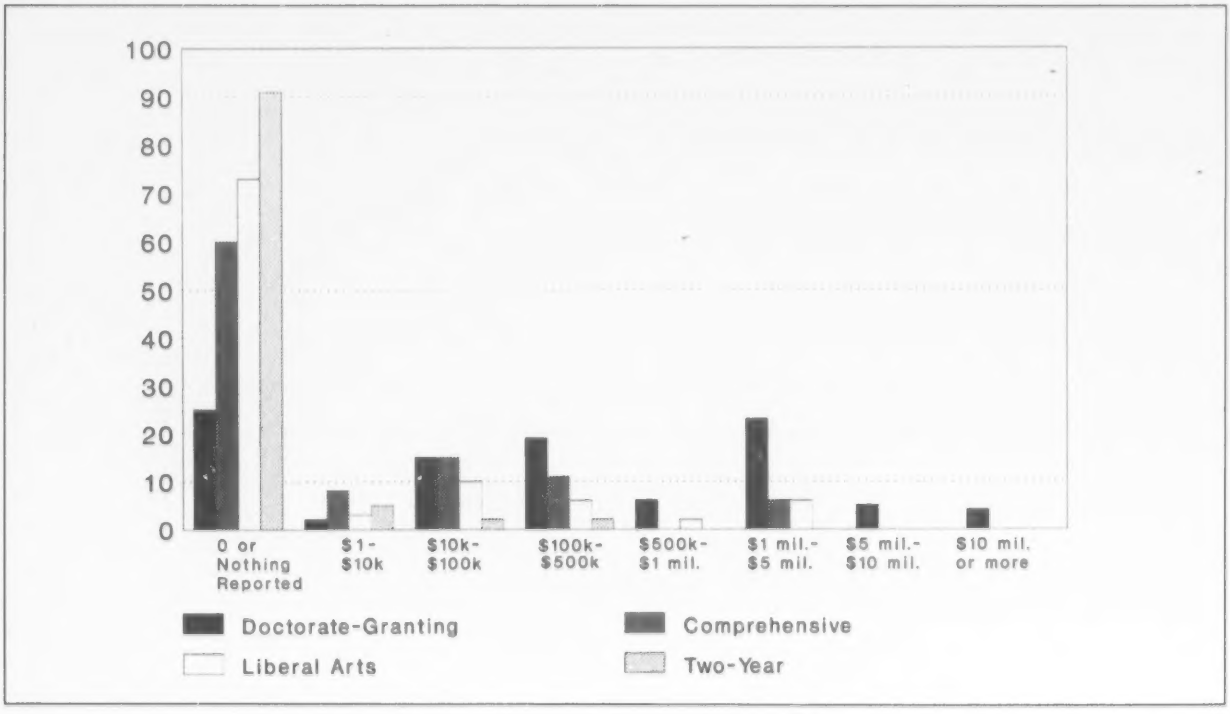

Figure 8. Percentage of respondents with various dollar amounts in a library endowment(s)

as large as $500,000 and less than 8% of liberal arts and comprehensive institutions reported endowments of between $500,000 and $5,000,000. Twenty nine percent of doctorate-granting institutions reported endowments in that range, 5% reported endowments between five and ten million, and 4% reported even larger endowments. Of those six institutions, two were below 15 million, three were between 20 and 25 million, and one was just over 56 million.

Table E2 and Figure 9 present a similar picture when showing interest on endowment. Ninety-four percent of two-year institutions reported no interest and, of those reporting some interest, none reported more than $50,000. Fewer liberal arts and comprehensive institutions reported nothing and some in each category reported considerably more than that. Only 27% of doctorate-granting institutions reported no interest and 6% reported $500,000 or more. Four of those were less than $600,000 and one was just over $674,000. Two were a little over 1.1 million; one was 3.5 million and one was 6.8 million.

Table E3 shows those interest dollars as a percentage of operating expenditures. Although for 98% of two-year institutions and over 80% of institutions in the other three Carnegie categories, interest income is less than 2% of operating expenditures, this source is 2% or more in 18% of doctorate-granting institutions, 17% of liberal arts institutions, 8% of comprehensive institutions, and 2% of two-year institutions. For doctorate-granting institutions, the percentage is less than 20% in all but one institution which had 20.5% from interest. For comprehensive institutions, eight of the eleven institutions involved had less than 10% from interest and one each reported 22%, 39% and 45%. Of the liberal arts colleges, 14 were below 10%, four were between 10% and 17%, and three between 26% and 42%. The two two-year colleges reported 3% and 13% from interest.

Discrepancies in answers to the two questions led us to conduct numerous telephone interviews. A good number of respondents answered Question One (the dollar amount of interest) but did not answer

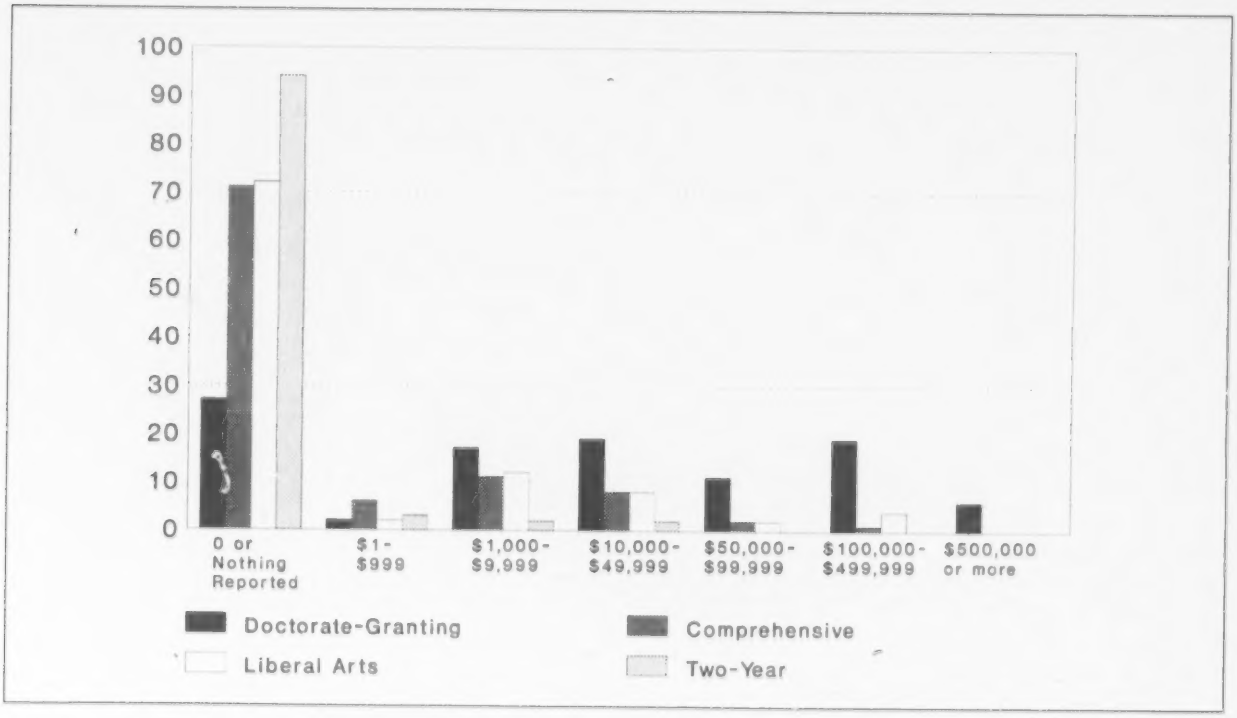

Figure 9. Percentage of respondents receiving various dollar amounts of interest from library endowment(s)

Question 2 (dollars in library endowment). When questioned they told us they did not know primarily because all endowments are managed centrally on campus and information about them is hard to get.

Many respondents, who did report on the principal, reported interest that seemed too low to be a reasonable return. Telephone interviews revealed several reasons for this, the most prominent of which is that either the parent institution or the library had decided to use a good part of the interest to build up the principal.

F. Budget Summary

Results

Table F1 and Figure 10 show the percentage of respondents with operating expenditures in various ranges and presents a telling summary of academic library finance. Whereas none of the liberal arts institutions and almost none of the two-year institutions have operating expenditures of over $2,500,000, and only 11% of the comprehensive institutions have expenditures over that amount, 56% of the doctorate-granting institutions have expenditures above $2,500,000. Further, none of the comprehensive institutions have operating expenditures above $7,500,000 but 36% of the doctorate-granting institutions do.

Table F2 shows that doctorate-granting institutions are most likely to receive funds from alternative sources in addition to an allocation from the parent institution (84%) and liberal arts colleges are most likely to receive them as part of an allocation. Respondents in all Carnegie categories who checked

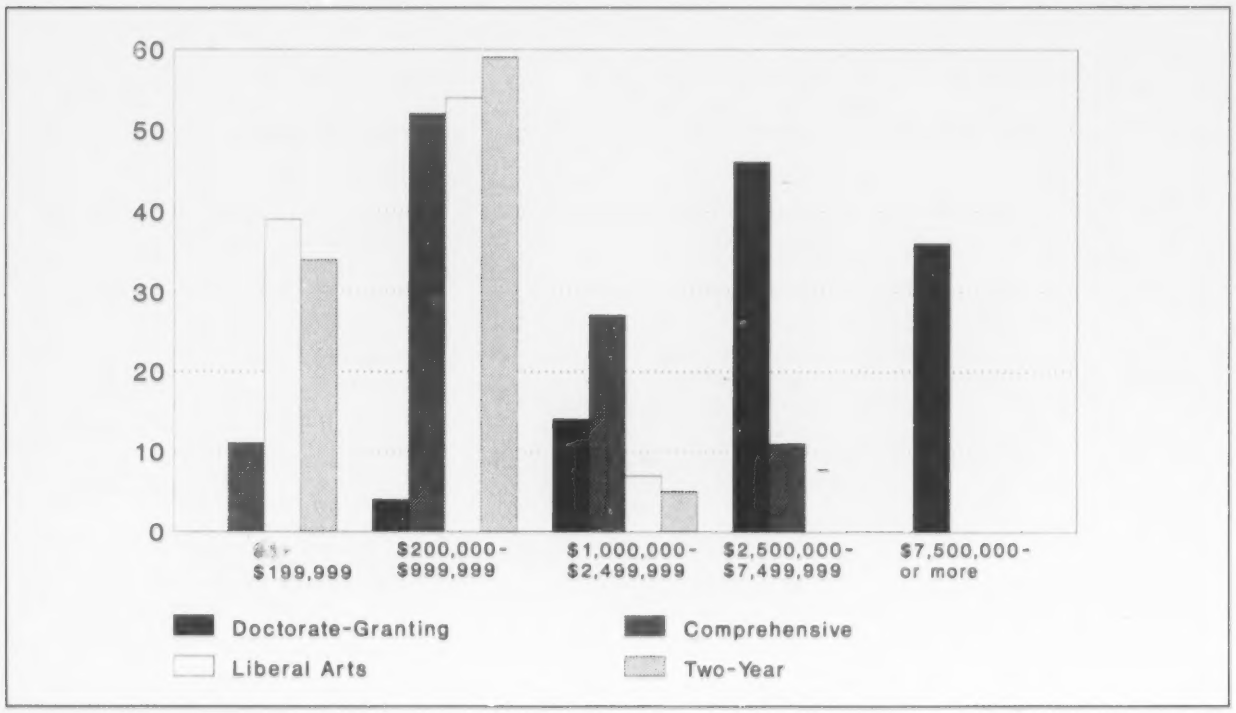

Figure 10. Percentage of respondents with operating expenditures in various ranges

"other" usually explained on the form that dollars from some sources came one way and dollars from other sources came another way.

Table F3 and Figure 11 also show that doctorate-granting institutions as a group are different from the other three Carnegie categories. None of the liberal arts or two-year institutions receive more than $500,000 for operating expenditures from all alternative sources and less than 1% of the comprehensive institutions receive that much. Most institutions in those three Carnegie categories receive less than $100,000. On the other hand, over 65% of doctorate-granting institutions receive over $100,000 and over 26% receive $500,000 or more.

Table F4 and Figure 12, which display what those dollars represent as a percentage of operating expenditures, show a very different pattern with some percentage of institutions in each Carnegie category in every range.

Table F5 displays answers to an opinion question: "At any time during the past three years, has your allocation from the parent institution been reduced because of revenue to the library from alternative sources? Most academic libraries do not think that is true, especially in doctorate-granting institutions.

G. Fund Raising-Financial Development

Results

Table G1 shows that well over half of doctorate-granting institutions were involved in some kind of fund raising in the three years preceding Spring of 1990 but considerably fewer institutions in the other Carnegie categories, with only 20% in the two-year public colleges. Fund raising is most likely to be

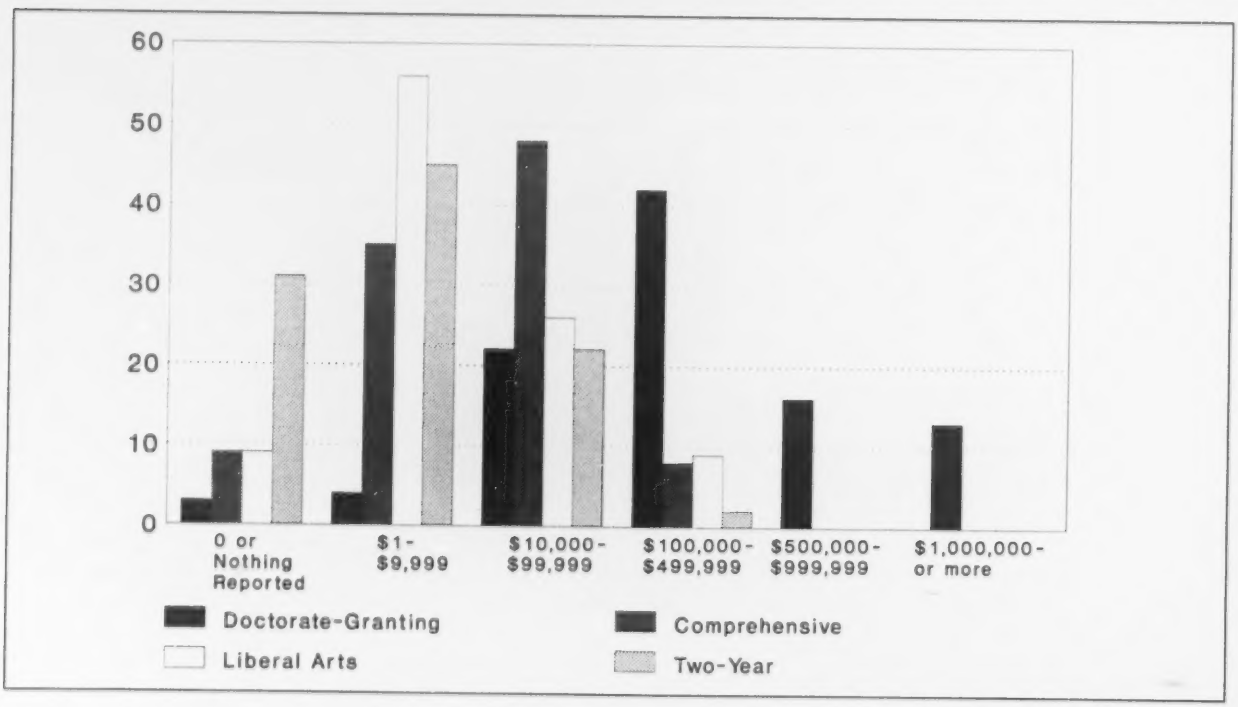

Figure 11. Percentage of respondents reporting various dollar amounts of revenue from all alternative sources

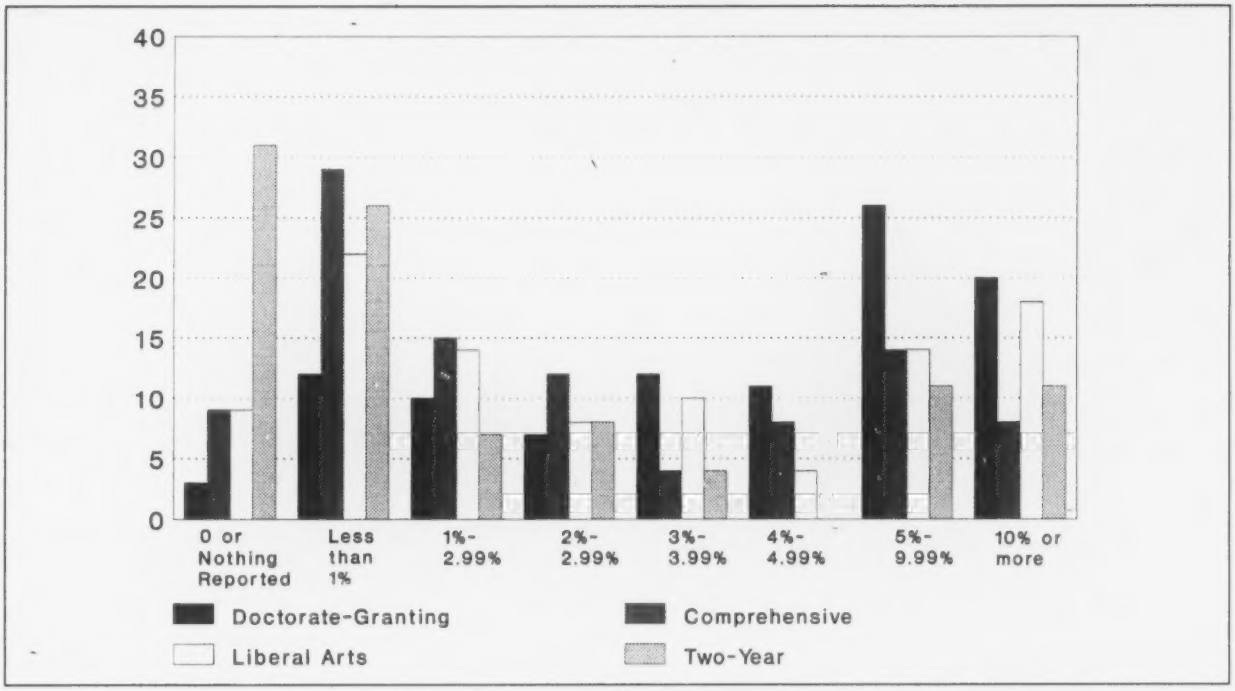

Figure 12. Percentage of respondents reporting income from all alternative sources as a percentage of operating expenditures

conducted "for library materials only" in all Carnegie categories, except doctorate-granting where an almost identical percentage were involved in general purpose fund raising, and least likely to be done "for additional library staff."

Given the results just described, it is not surprising that the percentage of institutions reporting the presence of fund raising professionals on Table G2 (library budget) and G3 (institutional budget) is relatively small for all Carnegie categories except doctorate-granting. The percentages on those tables indicate that where fund raising professionals focusing on the library are present, they are more likely to be paid by the library budget in doctorate-granting institutions and paid by the institutional budget in the other Carnegie categories. There is also more overlap for doctorate-granting institutions where 25% of the institutions have fund raising professionals focusing on the library in both places. This is true in less than 1% of the other Carnegie categories.

Conclusions, Comments, & Suggestions for Future Research

Conclusions

Alternative sources are a component of the revenue stream for many academic libraries. However, the amount of money involved and the percentage of operating expenditures that comes from this source varies widely, especially among the four major sectors of the higher education universe defined by the Carnegie Classification. Most two-year colleges receive very little income from these sources whereas many doctorate-granting institutions receive a considerable amount. It was difficult to collect valid and reliable data on this topic for several reasons including lack of common understanding in the library community regarding financial terminology and the variety of accounting practices used in academic institutions.

A variety of user charges are part of the revenue stream in some institutions. However, academic libraries vary widely, even within Carnegie categories with regard to how and when charging is done and how these amounts are accounted for. In addition to charges which they keep, academic libraries are also involved in charging where some other agency ultimately receives the funds. This is also true for fines.

Comments

The present study is the first effort to provide national data on the extent to which alternative sources of revenue contribute to the operating expenditures of academic libraries. Although these results cover only fiscal year 1988-89, there is no reason to believe that this period was unusual with regard to academic library finance. Now that the results are available, it seems clear that for many libraries the dollar amounts are not great, nor are they a significant percentage of total operating expenditures. Nevertheless, these sources are important to academic libraries. For some, they may constitute a significant portion of the materials expenditures, for others they provide the flexibility of discretionary income. Moreover, it is important to consider these sources now as higher education is facing difficult times financially and parent institutions are likely to be looking for alternative ways to fund library services. This study will help librarians plan activities in that arena and respond to suggestions from campus administrators.

Suggestions for Future Research

This study can be used in three different ways as a base for additional studies:

- The data file could be manipulated in various ways to answer such questions as: How do private institutions differ from public institutions with regard to alternative sources? How many and what kind of institutions get money from all five sources?

- The results of this study could be used to shape case study investigations of alternative sources in academic libraries in different Carnegie categories. Such case studies could take a closer look at how a library's actions in this arena fit into the context of what is done in other parts of the same campus and could consider factors such as the exceptions and special situations that respondents wrote about on the questionnaire but were not considered in the analysis. The increasing importance of electronic information delivery has complicated library finance in ways that should be explored in case studies before any additional surveys are conducted.

- The results could also be used to shape national surveys that explore one of these sources more closely (e.g., specific sources of gifts and grants). Finally, the study itself could be repeated in several years so that trends in this area of library finance could be observed. Because the finances of academic institutions are in a state of change, it seems likely that academic library finances will also change in the next few years.

Finally, involvement in this study has made the Advisory Committee and Principal Investigator very aware of additional questions that need to be explored in the area of library finance, especially for doctorate-granting institutions. For example, to what extent are electronic access charges paid for by campus departments other than the library? What is the budget size of fee-based information services for non-primary clientele that operate outside of the library budget? What percentage of total grant overhead goes to the library? There are many other possibilities. The academic library community should promote research on such questions because answers can help librarians make intelligent choices in a complex arena.

Table A1. **Percentage** of respondents offering selected services, sales, and special events

Services, Sales, & Special Events	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
Borrowers cards and/or building use for non-primary clientele	99	96	98	92	82	87	88	85
Reference/Research for non-primary clientele	94	83	91	89	87	88	90	94
Sending material to other libraries a. Monographs	98	98	98	98	98	98	98	92
b. Journal articles	99	96	98	94	97	95	95	91
Obtaining material from other libraries a. Monographs	97	94	96	95	95	95	97	96
b. Journal articles	97	93	96	94	93	94	95	96
Facsimile Services a. for interlibrary loan	94	91	93	84	73	80	61	69
b. for other purposes	67	68	68	64	68	66	52	60
Photocopies and/or Microform prints	98	98	98	99	100	99	96	96
On Campus Document Delivery	43	43	43	26	25	26	38	51
Vending Machines	53	46	51	32	13	24	20	10
Special Events (e.g., concerts, dances, fairs, raffles)	24	30	26	14	13	14	23	16
Audiovisual Production	24	30	26	43	37	41	38	62

Table A1. **Percentage** of respondents offering selected services, sales, and special events, *cont.*

Services, Sales, & Special Events	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
Workshops and/or Teleconferences	44	46	**45**	34	28	**32**	**20**	**64**
Computer Software	41	44	**42**	35	33	**34**	**43**	**46**
Videocassettes & Films	68	72	**69**	68	57	**63**	**79**	**81**
Audio/Visual Equipment (e.g., projectors, players, recorders)	44	52	**47**	60	57	**59**	**66**	**77**
Microcomputers and/or Typewriters	52	59	**54**	59	60	**59**	**57**	**74**
Withdrawn or Gift Books	76	80	**78**	53	90	**68**	**81**	**46**
T-Shirts and Mugs	7	6	**6**	2	0	**1**	**<1%**	**3**
Used Equipment	24	39	**29**	12	23	**17**	**18**	**20**

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table A2. Percentage of respondents that *offer* services, sales, and special events and *charge* for them

Services, Sales, and Special Events	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
Borrowers cards and/or building use for non-primary clientele	48	76	**58**	37	35	**36**	**43**	**19**
Reference/Research for non-primary clientele	36	41	**38**	26	25	**26**	**18**	**13**
Sending material to other libraries a. Monographs	66	72	**68**	39	40	**39**	**30**	**8**
b. Journal articles	88	82	**86**	63	62	**62**	**50**	**18**
Obtaining material from other libraries a. Monographs	53	57	**54**	52	48	**50**	**42**	**27**
b. Journal articles	63	68	**65**	65	58	**62**	**54**	**39**
Facsimile Services a. for interlibrary loan	56	50	**54**	37	38	**38**	**27**	**12**
b. for other purposes	28	35	**31**	30	33	**32**	**32**	**12**
Photocopies and/or Microform prints	95	96	**96**	92	93	**92**	**85**	**73**
On Campus Document Delivery	15	13	**14**	4	2	**3**	**5**	**3**
Vending Machines	50	43	**48**	31	12	**23**	**17**	**9**
Special Events (e.g., concerts, dances, fairs, raffles)	16	17	**16**	5	8	**6**	**15**	**5**
Audiovisual Production	18	17	**18**	29	28	**29**	**25**	**14**

Table A2. **Percentage** of respondents that *offer* services, sales, and special events and *charge* for them, *cont.*

Services, Sales, & Special Events	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
Workshops and/or Teleconferences	28	17	**20**	14	15	**15**	**6**	**30**
Computer Software	<1%	2	**1**	1	0	**<1%**	**2**	**0**
Videocassettes & Films	18	9	**15**	8	5	**7**	**8**	**3**
Audio/Visual Equipment (e.g., projectors, players, recorders)	15	13	**14**	5	7	**6**	**10**	**10**
Microcomputers and/or Typewriters	21	15	**19**	17	8	**13**	**5**	**17**
Withdrawn or Gift Books	74	76	**74**	48	83	**63**	**74**	**41**
T-Shirts and Mugs	6	6	**6**	2	NA	**1**	**<1%**	**3**
Used Equipment	24	37	**28**	12	18	**15**	**17**	**20**

NA: Not applicable as service is not offered.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table A3. Percentage of respondents that *offer* services, sales, and special events, *charge* for them, and *receive* funds

Services, Sales, & Special Events	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
Borrowers cards and/or building use for non-primary clientele	36	55	42	30	25	28	28	3
Reference/Research for non-primary clientele	30	35	32	20	18	20	15	6
Sending material to other libraries								
a. Monographs	60	59	60	28	27	27	24	3
b. Journal articles	81	68	77	48	45	47	38	6
Obtaining material from other libraries								
a. Monographs	37	41	38	19	25	22	22	8
b. Journal articles	42	50	45	28	27	27	30	10
Facsimile Services								
a. for interlibrary loan	51	41	48	26	25	26	18	4
b. for other purposes	26	30	28	18	25	21	18	3
Photocopies and/or Microform prints	79	67	75	60	50	56	44	23
On Campus Document Delivery	14	11	13	4	0	2	3	<1%
Vending Machines	12	15	13	4	2	4	3	<1%
Special Events (e.g., concerts, dances, fairs, raffles)	13	13	13	4	7	5	8	3
Audiovisual Production	13	13	13	22	23	22	19	9

Table A3. Percentage of respondents that *offer* services, sales, and special events, *charge* for them, and *receive* funds, *cont.*

Services, Sales, & Special Events	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
Workshops and/or Teleconferences	14	6	**11**	10	10	**10**	**2**	**7**
Computer Software	<1%	2	**<1%**	1	NA	**<1%**	**<1%**	**0**
Videocassettes & Films	14	7	**12**	4	2	**3**	**6**	**<1%**
Audio/Visual Equipment (e.g., projectors, players, recorders)	12	11	**12**	5	5	**5**	**6**	**4**
Microcomputers and/or Typewriters	10	15	**12**	11	3	**8**	**2**	**8**
Withdrawn or Gift Books	66	65	**66**	43	75	**57**	**61**	**33**
T-Shirts and Mugs	4	6	**4**	1	NA	**<1%**	**0**	**<1%**
Used Equipment	17	30	**21**	8	15	**11**	**9**	**4**

NA: Not applicable as service is either not offered or not charged for.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table A4. Percentage of respondents reporting various dollar amounts from services, sales, and special events used for operating expenditures*

Dollars from Services, Sales, and Special Events	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
0 or Nothing Reported	12	28	18	39	22	32	35	62
$1 to $999	8	4	5	10	28	18	42	19
$1,000 to $9,999	15	9	13	25	43	33	17	15
$10,000 to $49,999	21	22	21	18	7	13	6	4
$50,000 to $99,999	14	9	12	7	0	4	<1%	0
$100,000 to $499,999	28	18	25	1	0	<1%	0	0
$500,000 or more	4	9	6	0	0	0	0	0

* Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table A5. **Percentage** of respondents reporting funds received from services, sales, and special events as a percentage of operating expenditures*

Percentage of Operating Expenditures from Services, Sales, and Special Events	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
0 or Nothing reported	12	28	18	39	23	32	35	62
Greater than 0; less than 1%	43	32	39	37	65	49	51	26
1% to 1.99%	13	2	9	4	7	5	5	6
2% to 2.99%	11	17	13	10	3	7	4	2
3% to 3.99%	9	6	8	2	0	1	3	3
4% to 4.99%	5	4	4	5	2	4	0	<1%
5% to 9.99%	5	11	7	2	0	1	2	0
10% or more	<1%	2	1	1	0	<1%	0	0

* Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table B1. **Percentage** of respondents offering searching and printing of computerized catalogs and databases

Searching and Printing of Computerized Catalogs and Databases	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
Online Catalog								
a. Searching	90	80	**86**	71	42	**59**	**33**	**51**
b. Printing	68	72	**69**	45	32	**39**	**23**	**39**
Remote Databases (e.g., Dialog)								
a. Searching	100	98	**99**	95	87	**92**	**75**	**52**
b. Printing	100	98	**99**	85	80	**83**	**72**	**48**
Locally Mounted tapes								
a. Searching	29	39	**32**	12	12	**12**	**9**	**9**
b. Printing	27	37	**31**	11	10	**10**	**7**	**7**
CD-ROM								
a. Searching	98	96	**98**	89	82	**86**	**58**	**68**
b. Printing	93	91	**92**	86	82	**84**	**58**	**64**

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table B2. **Percentage** of respondents that *offer* searching and printing of computerized catalogs and databases and *charge* for them

Searching and Printing of Computerized Catalogs and Databases	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
Online Catalog								
a. Searching	3	2	2	4	2	3	2	3
b. Printing	5	2	4	5	2	4	2	4
Remote Databases (e.g., Dialog)								
a. Searching	99	98	99	76	78	77	50	31
b. Printing	95	96	96	66	68	67	47	26
Locally Mounted tapes								
a. Searching	4	4	4	1	0	<1%	0	0
b. Printing	3	4	3	1	0	<1%	0	0
CD-ROM								
a. Searching	3	4	3	4	2	3	0	<1%
b. Printing	11	7	10	5	8	6	0	4

NA: Not applicable as service is not offered.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table B3. **Percentage** of respondents that *offer* searching and printing of computerized catalogs and databases, *charge* for them, and *receive* funds

Searching and Printing of Computerized Catalogs and Databases	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
Online Catalog								
a. Searching	3	2	**2**	4	2	**3**	**2**	**<1%**
b. Printing	5	2	**4**	5	2	**4**	**2**	**2**
Remote Databases (e.g., Dialog)								
a. Searching	89	82	**86**	60	55	**58**	**38**	**18**
b. Printing	86	78	**83**	53	45	**50**	**36**	**17**
Locally Mounted tapes								
a. Searching	4	2	**3**	1	NA	**<1%**	**NA**	**0**
b. Printing	3	2	**2**	1	NA	**<1%**	**NA**	**0**
CD-ROM								
a. Searching	3	2	**2**	1	2	**1**	**NA**	**0**
b. Printing	8	6	**7**	2	5	**4**	**NA**	**2**

NA: Not applicable as service is either not offered or not charged for

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table B4. **Percentage** of respondents that *offer* searching and printing of computerized catalogs and databases and *charge* for it where *students* receive *all* searching and printing free

Searching and Printing of Computerized Catalogs and Databases	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
Online Catalog								
a. Searching	<1%	2	1	1	0	<1%	1	0
b. Printing	<1%	2	1	1	0	<1%	0	0
Remote Databases (e.g., Dialog)								
a. Searching	4	7	5	7	12	9	7	10
b. Printing	3	6	4	6	10	8	7	9
Locally Mounted tapes								
a. Searching	0	0	0	0	NA	0	NA	NA
b. Printing	0	0	0	0	NA	0	NA	NA
CD-ROM								
a. Searching	<1%	0	<1%	0	0	0	NA	0
b. Printing	0	0	0	0	0	0	NA	0

NA: Not applicable as service is either not offered or not charged for

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table B5. **Percentage** of respondents that *offer* searching and printing of computerized catalogs and databases and *charge* for it where *students* receive *some* searching and printing free

Searching and Printing of Computerized Catalogs and Databases	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
Online Catalog								
a. Searching	<1%	0	**<1%**	1	2	**1**	**1**	**3**
b. Printing	3	0	**2**	2	2	**2**	**1**	**4**
Remote Databases (e.g., Dialog)								
a. Searching	57	57	**57**	34	35	**34**	**26**	**12**
b. Printing	53	56	**54**	29	28	**29**	**26**	**9**
Locally Mounted tapes								
a. Searching	3	4	**3**	1	NA	**<1%**	**NA**	**NA**
b. Printing	2	4	**2**	0	NA	**0**	**NA**	**NA**
CD-ROM								
a. Searching	2	2	**2**	1	2	**1**	**NA**	**<1%**
b. Printing	8	2	**8**	2	5	**4**	**NA**	**4**

NA: Not applicable as service is either not offered or not charged for

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table B6. **Percentage** of respondents using various dollar amounts from searching and printing of computerized catalogs and databases for operating expenditures*

Dollars from Searching and Printing of Computerized Catalogs and Databases	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
0 or Nothing Reported	19	24	21	54	58	56	68	82
$1 to $999	6	7	6	18	18	18	24	15
$1,000 to $4,999	17	18	18	18	22	20	6	2
$5,000 to $9,999	15	22	18	4	0	2	<1%	<1%
$10,000 to $14,999	13	9	12	5	0	3	0	0
$15,000 to $19,999	4	6	4	0	0	0	<1%	0
$20,000 to $24,999	8	4	6	0	0	0	0	0
$25,000 or more	19	9	16	1	2	1	0	0

* Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table B7. **Percentage** of respondents reporting funds received from searching and printing of computerized catalogs and databases as a percentage of operating expenditures*

% of Operating Expenditures from Searching and Printing of Computerized Catalogs and Databases	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
0 or Nothing reported	19	24	**21**	54	58	**56**	**68**	**82**
Greater than 0; less than 1%	79	72	**77**	43	35	**41**	**30**	**14**
1% or more	2	4	**2**	2	3	**3**	**2**	**3**

* Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table C1. **Percentage** of respondents reporting that fines and replacement costs are assessed in library and available to library

Fines and Replacement Costs	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
Fines assessed	98	96	**98**	95	90	**93**	**86**	**75**
Fines assessed & available	44	48	**46**	34	42	**37**	**42**	**28**
Replacement costs assessed	100	100	**100**	98	98	**98**	**98**	**96**
Replacement costs assessed and available	84	83	**84**	66	72	**68**	**75**	**56**

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table C2. **Percentage** of respondents using various dollar amounts from fines and replacement costs for operating expenditures*

Dollars from Fines and Replacement Costs	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
0 or Nothing Reported	22	28	24	37	33	36	34	54
$1 to $999	2	9	4	8	25	15	41	25
$1,000 to $9,999	22	18	21	35	35	35	23	21
$10,000 to $19,999	13	9	12	13	7	10	<1%	0
$20,000 to $29,999	11	4	9	1	0	<1%	<1%	0
$30,000 to $39,999	5	7	6	2	0	1	0	0
$40,000 to $49,999	4	6	4	1	0	<1%	0	0
$50,000 to $99,999	12	11	12	1	0	<1%	0	0
$100,000 or more	9	7	9	0	0	0	0	0

* Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table C3. **Percentage** of respondents reporting funds received from fines and replacement costs as a percentage of operating expenditures*

Percentage of Operating Expenditures from Fines and Replacement Costs	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
0 or Nothing reported	22	30	**24**	37	33	**36**	**34**	**54**
Greater than 0; less than 1%	63	63	**63**	50	56	**53**	**56**	**40**
1% to 1.99%	13	7	**11**	6	7	**6**	**8**	**4**
2% or more	2	0	**1**	6	3	**5**	**2**	**2**

* Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table D1. **Percentage** of respondents receiving dollars from various sources of gifts and grants

Sources of Gifts and Grants	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
Federal Grants	47	35	**43**	13	7	**10**	**8**	**8**
State Grants	43	32	**39**	23	27	**24**	**21**	**22**
Foundation Grants	31	39	**34**	14	30	**21**	**23**	**11**
Other Grants	19	18	**19**	7	10	**8**	**11**	**5**
Institutional overhead from grants and contracts to other departments	22	0	**14**	1	3	**2**	**3**	**3**
Gifts from corporations (non-endowment)	31	32	**31**	10	10	**10**	**7**	**3**
Gifts from individuals (non-endowment)	61	68	**64**	46	53	**49**	**52**	**19**
Friends of the Library	56	46	**52**	22	13	**18**	**19**	**5**
Other	16	9	**14**	4	5	**4**	**2**	**3**

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table D2. **Percentage** of respondents receiving various dollar amounts from gifts and grants*

Dollars from Gifts and Grants	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
0 or Nothing Reported	14	17	15	40	45	42	39	64
$1 to $999	2	2	2	7	5	6	10	3
$1,000 to $9,999	7	15	9	24	30	27	33	18
$10,000 to $49,999	22	17	20	20	15	18	11	10
$50,000 to $99,999	10	13	11	4	5	4	4	3
$100,000 to $249,999	20	11	17	4	0	2	2	2
$250,000 to $499,999	14	15	14	1	0	<1%	2	0
$500,000 to $999,999	6	5	6	0	0	0	0	0
$1,000,000 or more	6	5	6	0	0	0	0	0

* Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table D3. **Percentage** of respondents reporting funds received from gifts and grants as a percentage of operating expenditures*

Percentage of Operating Expenditures from Gifts and Grants	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
0 or Nothing reported	14	17	15	40	45	42	39	64
Greater than 0; less than 1%	34	32	33	35	18	28	27	8
1% to 1.99%	15	24	18	10	15	12	9	5
2% to 2.99%	10	4	8	6	7	6	5	4
3% to 3.99%	7	0	4	2	2	2	2	<1%
4% to 4.99%	4	7	5	1	5	3	0	2
5% to 9.99%	11	15	12	5	5	5	10	8
10% or more	5	2	4	1	3	2	9	8

* Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table D4. Percentage of respondents reporting gifts and grants by approximate dollar amount from source

Source of Gifts and Grants	# of Respondents	% Doc. Granting	Range	<$10,000 %	<$50,000 %	<$100,000 %	<$1,000,000 %
Federal Grants	103	67	$45 to 1,873,625	18	44	64	99
State Grants	149	42	$55 to 1,441,761	43	75	85	99
Foundation Grants	125	43	$97 to 1,200,000	36	62	74	99
Gifts from Corporations	78	71	$100 to 1,500,000	55	78	87	96
Gifts from Individuals	258	37	$20 to 2,587,775	67	86	94	98
Friends of the Library	140	54	$185 to 198,803	56	94	99	100
Other Grants	34	88	$100 to 1,470,000	34	58	66	99

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table E1. Percentage of respondents with various dollar amounts in a library endowment(s)*

Dollars in Library Endowment(s)	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
0 or Nothing Reported	17	41	25	58	63	60	73	91
$1 to $9,999	4	0	2	10	5	8	3	5
$10,000 to $99,999	19	7	15	18	10	15	10	2
$100,000 to $499,999	26	7	19	11	12	11	6	2
$500,000 to $999,999	9	0	6	0	2	<1%	2	0
$1,000,000 to $4,999,999	23	24	23	4	8	6	6	0
$5,000,000 to $9,999,999	2	11	5	0	0	0	0	0
$10,000,000 or more	<1%	9	4	0	0	0	0	0

* Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table E2. **Percentage** of respondents with various dollar amounts of interest from library endowment(s)*

Dollars of Interest on Endowment(s)	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
0 or Nothing Reported	27	26	27	71	70	71	72	94
$1 to $999	2	2	2	10	2	6	2	3
$1,000 to $9,999	21	9	17	11	12	11	12	2
$10,000 to $49,999	23	13	19	7	8	8	8	2
$50,000 to $99,999	12	7	11	1	3	2	2	0
$100,000 to $499,999	14	28	19	0	3	1	4	0
$500,000 or more	<1%	15	6	0	2	<1%	0	0

* Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table E3. **Percentage** of respondents reporting funds received from interest on endowment(s) as a percentage of operating expenditures*

Percentage of Operating Expenditures from Interest on Endowment(s)	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
0 or Nothing reported	27	26	**27**	74	70	**72**	**72**	**94**
Greater than 0; less than 1%	54	22	**43**	20	12	**17**	**6**	**4**
1% to 1.99%	10	17	**12**	4	3	**4**	**5**	**<1%**
2% or more	8	35	**18**	2	15	**8**	**17**	**2**

* Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table F1. **Percentage** of respondents with operating expenditures in various ranges*

Dollars of Operating Expenditures	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
$1 to $49,999	0	0	**0**	0	0	**0**	**5**	**5**
$50,000 to $99,999	0	0	**0**	4	2	**3**	**12**	**12**
$100,000 to $199,999	0	0	**0**	4	13	**8**	**22**	**17**
$200,000 to $299,999	0	2	**<1%**	2	15	**8**	**29**	**17**
$300,000 to $499,999	<1%	0	**<1%**	8	20	**13**	**18**	**21**
$500,000 to $999,999	3	4	**3**	26	37	**31**	**7**	**21**
$1,000,000 to $2,499,999	8	26	**14**	37	12	**27**	**7**	**5**
$2,500,000 to $4,999,999	28	20	**26**	16	2	**10**	**0**	**<1%**
$5,000,000 to $7,499,999	23	15	**20**	2	0	**1**	**0**	**0**
$7,500,000 to $9,999,999	14	11	**13**	0	0	**0**	**0**	**0**
$10,000,000 to $19,999,999	20	11	**17**	0	0	**0**	**0**	**0**
$20,000,000 or more	3	11	**6**	0	0	**0**	**0**	**0**

* Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table F2. Institutional practice regarding how funds from alternative sources are received by library*

Practice Regarding how Funds from Alternative Sources are Received	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
In addition to allocation	89	74	84	71	50	62	55	49
As part of allocation	5	13	8	12	32	20	34	26
Other	6	11	8	7	10	8	3	12
No Response	0	2	<1%	10	8	9	8	14

* Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table F3. **Percentage** of respondents reporting various dollar amounts of revenue from all alternative sources* used for operating expenditures**

Dollars from Alternative Sources	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
0 or Nothing Reported	1	7	3	8	10	9	9	31
$1 to $9,999	4	4	4	30	42	35	56	45
$10,000 to $99,999	20	26	22	53	40	48	26	22
$100,000 to $499,999	48	30	42	8	7	8	9	2
$500,000 to $999,999	16	15	16	0	0	0	0	0
$1,000,000 to $4,999,999	11	17	13	0	2	<1%	0	0
$5,000,000 or more	0	2	<1%	0	0	0	0	0

* Includes: Services, Sales, and Special Events; Searching and Printing of Computerized Catalogs and Databases; Fines and Replacement Costs; Gifts and Grants; Interest from Endowment(s).

** Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table F4. **Percentage** of respondents reporting income from all alternative sources* as a percentage of operating expenditures**

Percent of Operating Expenditures	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
0 or nothing reported	1	7	3	8	10	9	9	31
Greater than 0; less than 1%	12	11	12	36	20	29	22	26
1% to 1.99%	10	9	10	13	18	15	14	7
2% to 2.99%	8	6	7	12	12	12	8	8
3% to 3.99%	15	6	12	4	5	4	10	4
4% to 4.99%	13	6	11	7	8	8	4	<1%
5% to 9.99%	26	26	26	11	18	14	14	11
10% or more	15	30	20	8	8	8	18	11

* Includes: Services, Sales, and Special Events; Searching and Printing of Computerized Catalogs and Databases; Fines and Replacement Costs; Gifts and Grants; Interest from Endowment(s).

** Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table F5. Perception regarding whether allocation from parent institution was reduced in last three years because of revenue from alternative sources*

Perception Regarding Reduction of Allocation	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
Yes	3	6	4	6	8	7	5	10
No	93	89	92	86	80	83	81	78
Don't Know	3	4	3	7	8	8	10	6
Not Applicable	0	0	0	1	0	<1%	0	<1%
No Response	1	2	1	0	3	1	4	5

* Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table G1. **Percentage** of respondents involved in fund raising in past three years and purpose of fund raising*

Purpose of Fund Raising	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
Not involved	33	46	**38**	74	62	**68**	**66**	**80**
General purpose fund raising	45	26	**39**	12	7	**10**	**8**	**4**
Building construction or renovation	15	32	**21**	7	17	**11**	**11**	**2**
Funds for library materials only	40	35	**38**	13	23	**18**	**17**	**10**
Funds for additional library staff only	3	15	**7**	1	0	**<1%**	**0**	**0**
Funds for library equipment and furniture only	14	17	**15**	4	12	**7**	**9**	**2**
Other	10	17	**12**	2	5	**4**	**4**	**2**

* Respondent could choose more than one.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table G2. **Percentage** of respondents with staff paid to work on fund raising from the *library* budget*

Staff Paid to do Fund Raising - Library Budget	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
0 or nothing reported	46	59	**51**	88	95	**91**	**87**	**97**
Less than .5 FTE	20	9	**16**	8	2	**6**	**8**	**<1%**
.5 FTE or more, less than 1 FTE	12	9	**11**	2	2	**2**	**2**	**0**
1 FTE	13	15	**14**	1	2	**1**	**3**	**2**
More than 1 FTE through 3 FTE	8	7	**8**	0	0	**0**	**0**	**0**

* Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

Table G3. **Percentage** of respondents with staff paid to work on fund raising from the *institutional* budget*

Staff Paid to do Fund Raising - Institutional Budget	Doctorate Granting			Comprehensive			Liberal Arts	Two-Year
	Public N=106 %	Private N=54 %	Total N=160 %	Public N=83 %	Private N=60 %	Total N=143 %	Private N=125 %	Public N=113 %
0 or nothing reported	71	52	64	88	82	85	74	89
Less than .5 FTE	19	15	18	7	5	6	12	4
.5 FTE or more, less than 1 FTE	5	11	7	2	0	1	2	<1%
1 FTE	3	17	8	2	3	3	6	6
More than 1 FTE through 3 FTE	3	5	4	0	10	4	6	<1%

* Columns may not always add up to 100% because of rounding.

Source: Alternative Sources of Revenue in Academic Libraries: ALA Survey Report, 1991

ANNOTATED BIBLIOGRAPHY

by Carol S. Nielsen

This bibliography has been compiled as a starting place for those wishing additional information on alternative funding sources for academic libraries. It is organized according to the categories on the questionnaire for this study. Some definitive articles on fees and fund raising are included as well as those that serve only as examples of different types of fund raising efforts. General articles on library finance, budgeting, and management have not been included.

The bibliography was compiled from a search of the CD-ROM version of *Library Literature* covering the period from December 1984 to the present. A wide variety of subject terms were used in the search including Finance, Financial Development, Fines, Fees, Grants, Friends, Economic Sources, Charges, Donations, Sales, and Fundraising. All these terms where combined with the term College and University Libraries.

Generally there was not a great deal of literature on the topic of alternative funding sources in academic libraries, but there was certainly a wealth of materials on budgeting, financial planning, and management. The general literature of fund raising and philanthropy outside the field of librarianship was not explored in depth. This list does not attempt to be comprehensive but only serves as a start for those wishing to explore this relatively new area of academic library finance. Most articles included here contained bibliographies that may provide additional references.

General Information on Library Revenue Sources

ALA Yearbook of Library and Information Services. Chicago: American Library Association, annual. Ceased publication in 1990. The yearbook usually contained one or more articles on library revenue sources. Depending on the year, the articles may have been indexed under various headings, including "Funding," "Fundraising and Financial Development," and "Gifts, Bequests, and Endowments." The articles covered developments in only the previous year but can be quite helpful as a general overview if the volumes are consulted in sequence from 1976 to 1990.

Breivik, Patricia Senn; Gibson, E. Burr, *Funding Alternatives for Libraries*. Chicago: American Library Association, 1979. Although now quite dated, this book is still noteworthy for its comprehensive treatment of the various aspects of library funding. An outgrowth of a workshop held at the Pratt Institute Graduate School of Library and Information Science in January, 1976, the book contains articles, case studies, and an excellent annotated bibliography.

Harvey, John F. and Peter Speyers-Duran, Editors. *Austerity Management in Academic Libraries*. Metuchen, NJ: Scarecrow, 1984. Chapters specifically written for this book cover management techniques, the effect of inflation, creative fund raising, and budgeting techniques for academic libraries operating under austerity budgets.

Martin, Murray S. "Budgets in the Smaller Academic Libraries." *The Smaller Academic Library: A Management Handbook,* Editor Gerard B. McCabe. 105-125. Westport, CT: Greenwood Press, 1988. A brief overview of budgetary styles and controls, with sample budgets. Discusses outside income and using savings.

Martin, Murray S. "Financial Planning: New Needs, New Sources, New Styles." *Financing Information Services* Peter Speyers-Duran and Thomas W. Mann. 91- 108. Westport, CT: Greenwood Press, 1985. A superficial overview of possible changes in financial planning for library budgets.

Martin, Murray S."Financing Library Automation: Selling the Benefits and the Budget." *Bottom Line* Charter Issue 11-16. Discusses preparation for the planning and purchase of automated systems. Reviews establishing the financial context and impact for the automated system. Discusses means of acquiring funds.

Martin, Murray S."Stagnant Budgets: Their Effects on Academic Libraries." *Bottom Line* 3, 3 10-16. Describes the changes needed by academic libraries to cope with steady-state budgets. Enumerates possible creative solutions to this problem.

Prentice, Ann E. *Financial Planning for Libraries.* Metuchen, NJ: Scarecrow, 1983. This book provides a comprehensive overview of general financial matters for libraries. The chapter entitled "Sources of Income" is particularly helpful in defining various sources of income, such as federal funds, revenue-sharing, foundation grants, and fees for service. An extensive bibliography is included.

Selsky, Deborah. "Academic Libraries: Increasingly Funded by Private Sources." *Library Journal* 114, August (1989): 38. This brief news item does not relate to funding sources for libraries but details the changes in funding sources for public and private institutions. The pie chart in the article includes data from 1986.

Sellen, Betty-Carol; Turock, Betty J., *The Bottom Line Reader: A Financial Handbook for Libraries.* New York: Neal-Schuman, 1990. A reader of fifty-one articles reprinted from the journal "The Bottom Line." Though many of the articles cover topics of general financial interest, there is a section of eleven articles on financing programs and services, and eight articles on fund raising strategies. All the articles from "The Bottom Line" already listed in this bibliography are in this compendium, as well as others. Indexed.

Services, Sales, and Special Events

Edwards, Oleta and George D. Harris, "Library Book Sales in Missouri: A Survey." *Show-Me Libraries* 36, August (1985): 19-23. This article reports a survey conducted in the state of Missouri relating to book sales in all types of libraries.

Fiscella, Joan B. and Joan D. Ringel, "Academic Libraries and Regional Economic Development." *Libraries and the Search for Academic Excellence.* Patricia Senn Breivik and Robert Wedgeworth. 127-136. Metuchen, NJ: Scarecrow, 1988. Describes a Colorado-based service to business and industry that was created in an attempt to convince legislators that there was not duplication of resources in the Denver, Colorado area. Does not specifically describe profits from the program, but does offer suggestions that this type of program might raise money for libraries.

Macartney, Nigel, "Revenue Earning and Cost Recovery." *Academic Library Management* Maurice B. Line. 223-231. London: Library Association, A very accessible article that discusses potential sources of income for academic libraries. Discusses costing, pricing, and impact on staff.

Fees

Caren, Loretta and Arleen Somerville, "Issues Facing Private Academic Libraries Considering Fee-Based Programs." *Reference Librarian*, 22 (1988): 37-49. Reviews the rationale supporting fee-for-service programs.

Cummings, Martin M., *The Economics of Research Libraries*. Washington, DC: Council on Library Resources, 1986. Chapter Two, on "Library Funding and User Needs," contains some discussion on user charge-backs for online searching. The extensive annotated bibliography on "User Fees and Library Economics" is one of the most useful in the literature.

Doherty, Walter E., "How to Turn a Library into a Profit Center: The Law Library Example." *Bottom Line* 2, 4 28-29. Defining library departments as profit centers and viewing library services as billable.

"Fees for Library Service: Current Practice and Future Policy," *Collection Building* 8, 1 (1986): This entire issue of *Collection Building* focuses on the 1985 report of the National Commission on Libraries and Information Science, "The Role of Fees in Supporting Library and Information Services in Public and Academic Libraries." The text of the report as well as responses from academic and public librarians, library and information science educators, publishers, consultants, and association executives comprise the issue. Extensive bibliographies are helpful. The entry below lists the citation for the report described here.

National Commission on Libraries and Information Services. *The Role of Fees in Supporting Library and Information Services in Public and Academic Libraries*. 1985. This internal report, funded by the Council on Library Resources, provides a good overview on fees and library services including the context of the fee, types of fee structures, rationale for fees, types of services for which fees are charged and recommendations for further studies. Also included is a bibliography on fees. Though somewhat dated, it is a good overview presented in a concise manner. It is not available as a separate publication but can be found in the issue of *Collection Building* listed above and was also reprinted in the *Bowker Annual of Library and Book Trade Information*. NY: R. R. Bowker, 1986. pp. 89-112.

Peterson, David J., "Profit Is Not a Dirty Word: An Argument for and Development of Fee-for- Service Programs in Medical Libraries." *Journal of Library Administration* 7, 1, Spring (1986): 75-81. The author argues that medical libraries have been traditionally viewed as a drain on hospital budgets but must begin to market their services. Describes a fee-for-service program at the Medical College of Wisconsin.

Voight, Kathleen J., "Computer Search Services and Information Brokering in Academic Libraries." *Reference Librarian*, 22 (1988): 17-36. Reviews the changes found in 47 reference departments based on the development of computer search services. Includes a short history of information brokering and charging methods.

Warner, Alice Sizer, *Making Money: Fees for Library Services*. New York: Neal-Schuman, 1989. Described by the author as a "primer" for those thinking of starting fee-based services in libraries. It describes what is currently in practice in all types of libraries in the United States and includes guidelines for planning

fee-based services. Also includes a chapter on marketing. Each chapter has a list of additional sources to consult. Indexed.

Grantsmanship

Grants for Libraries and Information Services. New York: Foundation Center. Annual. This volume lists grants of $5,000 or more made by foundations. It covers grants to public, academic, and special libraries, and to archives, for construction, operations, equipment, acquisitions, computerization, and library science education. Listed by state, with subject and foundation indexes. The most recent was published in September, 1990.

McGovern, Gail, "The Inside Track: What the Experts Say About Seeking Alternative Funding." *Bottom Line* 1, 4 30-31. A brief review enumerating the successes of a variety of libraries in obtaining grants.

Meiners, Phyllis A., "Tapping Into Corporate Philanthropy: Using the Corporate Center Resource Library." *Show-Me Libraries* 40, 4, Summer (1989): 25-28. Describes the Corporate Resource Center Library.

Fund Raising and Financial Development

Association of Research Libraries Office of Management Services, "Library Development and Fund Raising Capabilities." *SPEC Flyer* 148, July-August (1988): Briefly describes a spec kit that provides an overview of current fund raising and development capabilities in research libraries.

Bradbury, Daniel J., "Seven Strategies for Effective Fund Raising." *Bottom Line* 2, 4 11-14. Describes seven types of alternative fund raising programs. Though aimed primarily toward public libraries, the methods may be transferred to academic library settings.

Breivik, Patricia Senn and E. Gordon Gee, *Information Literacy: Revolution in the Library.* New York: American Council on Education/Macmillan Publishing Company, 1989. One chapter describes alternative funding sources for libraries, with an extensive discussion of fees. fund raising, and entrepreneurial activities such as sales and special events.

Buis, Ed, "Endowment Money: It's Where We Place the Funds That Counts!" *Show-Me Libraries* 41, 1, Fall (1989): 24-28. Description of the Southeast Missouri State University endowment program. Includes sample forms.

Burlingame, Dwight F., "Library Fund-Raising in the United States: A Second Look." *Library Administration & Management* 1, 3, June (1987): 108-111. This article provides further review and analysis of the results of the LAMA/FRFDS Alternative Resource Development Committee's survey of library fund raising reported in the Fischler article cited below. (The actual survey results are reported in the March, 1987, issue on pages 65-66.) Burlingame concludes that more and more libraries are becoming involved in fund raising, and that further study of the patterns and trends is vital to enhance librarians' understanding of the fund raising process.

Campbell, Barbara Ruth, "Using Money to Make Money." *Bottom Line* 4, 1 12-14. Describes ways to invest money, such as treasury bonds, CD's, and money market accounts.

Campbell, Jerry D., "Fundraising." *Show-Me Libraries* 38, August (1987): 17-24. Written by an academic librarian, this article is an interesting outline of the techniques which need to be employed in successful fund raising. The author uses an essay approach to define methods for obtaining funding from outside resources.

Clark, Charlene, "Private Support for Public Purposes: Library Fund Raising." *Wilson Library Bulletin*, February (1986): 25-27. Describes the development program carried out at the Sterling C. Evans Library at Texas A & M. Describes hiring a development officer, establishing a development council, developing public relations materials, a brief description of establishing an endowment, donor recognition programs, and fund-raising events. Includes a basic bibliography. Useful as it details a program that actually raised substantial amounts of money.

Dannelly, Paul, *Fund Raising and Public Relations: A Critical Guide to Literature and Resources*. Norman, OK: University of Oklahoma Press, 1986. A handy bibliography and guide specifically aimed at not-for-profit fund raising. All citations are annotated. Includes a list of foundation directories by state, and a list of periodicals and newspapers. Indexed.

Davis, Maribelle, "Corporate Philanthropy and Libraries: Will the Private Sector Respond to Federal Cutbacks?" *Public Library Quarterly* 6, 2, Summer (1985): 15-26. This article presents a general overview of the history of corporate philanthropy and its relationship to libraries. It provides interesting information about the types of corporations likely to fund library programs and projects and makes suggestions about the libraries' responsibility for seeking these funds.

Dolnick, Sandy, Editor, *Fundraising for Nonprofit Institutions*. Greenwich, CT: JAI Press, 1987. One of the few recent books devoted to fund raising by non-profit groups though it is not solely devoted to library development campaigns. The information provided in the case studies do offer libraries a look at what other non-profit organizations are doing. The book includes six articles covering marketing in fund raising, assessing the community, information on federal grants, information on foundations, friends and volunteers, and running a business such as a museum store. Ten case studies are included on what a variety of not-for-profit organizations did to raise money. Six of the case studies are about specific libraries, including one on the University of Illinois at Champaign-Urbana.

Ezzell, Joline R., "From the Cayman Islands to Washington: Development in Academic Libraries." *North Carolina Libraries* 47, Spring (1989): 38-42. Discusses fund raising in general terms, reviewing standard sources of revenue. It is concise and well-written, an article for those starting to consider library development within a more formalized structure.

Fischler, Barbara F. "Library Fund-Raising in the United States: A Preliminary Report." *Library Administration & Management*, January (1987): 31-34. A brief report of an ALA-LAMA survey of 1,600 college and university libraries and 1,150 public libraries to determine the status of library funding in the United States. See Burlingame article under Fund Raising and Financial Development in this bibliography for a follow-up article.

Lee, Sul H., *Library Fund-Raising: Vital Margin for Excellence*. Ann Arbor, MI: Pierian Press, 1984. This book is geared to academic library fund raising. A brief and somewhat dated bibliography is included.

Martin, Rebecca R., "Special Collections: Strategies for Support in an Era of Limited Resources." *College and Research Libraries*, May (1987): 241-246. Special collections as a type of library unit are described. Recently collections are having a hard time operating with reduced budgets. Discusses the potential that good collections have for attracting external funding.

Miller, Robert C., "Endowment Funding in Academic Libraries: Pitfall and Potential." *Bottom Line* 1, 1 (1987): 23- 27. This article is a historical overview and description of endowments in academic libraries. Discusses types of endowments and purposes. Reviews the use of unrestricted endowment funds created by pooling many small gifts. Details how endowment funds can be used. Describes potential problems such as mis-projections on earnings that can lower the dollar return. A thoughtful and useful overview.

Tanis, Norman E. and Cindy Ventuleth, "The Decline in Donations? Effects of the Tax Reform Act of 1969." *Library Journal* 111, June 15 (1986): 41-44. Reports a follow-up survey (original surveys done in 1974 and 1979) done in 1985 to see what effect the Tax Reform Act of 1969 has had on donations to libraries. A wide variety of responses are reported including forty-two percent said it had an effect on collection building efforts, while the same percentage said it had no effect. Sixteen percent could not tell one way or the other. Describes the increasing use of deposit collections, the sale of collections on the open market to the highest bidder, and the need for developing outside funding to enable libraries to purchase collections that come on the open market for sale.

Volkersz, Evert, "Gift Development Realities in Academic Libraries." Proceedings of the ACRL 3rd National Conference, Seattle, April 4-7, 1984. 290-292. 1986. Briefly describes the "art and process of gift development" by covering institutional planning for such programs, administration of gift development programs, and describes gift development as a "continuous and dynamic process." It does not specifically talk about gift development as an alternative source of income, but obviously a well-developed program could result in additional income for a library. A useful and practical overview.

Welch, Theodore F., "Taking Money for Granted: How to Attract Donor Dollars with Style and Confidence." *Financing Information Services* Peter Speyers-Duran and Thomas W. Mann. Westport, CT: Greenwood Press, 1985. pp. 165-180. A brief overview of standard means of development in academic libraries. The book from which this article was taken also includes a bibliography on fund raising and library support.

Friends Organizations

Haeuser, Michael, "What Friends Are For: Gaining Financial Independence." *Wilson Library Bulletin* 60, May (1986): 25-27. Describes a successful friends of the library organization and program at Gustavus Adolphus College Library. The friends organization helped raise enough money to substantially increase the library's endowment fund.

Kochoff, Steve, "Friends as Fund Raisers: I." *Bottom Line* 3, 1 35-36. A brief overview of how friends groups can generate funds for the library. Describes five different kinds of projects.

Munch, Janet Butler, "College Library Friends Groups in New York, New Jersey, and Connecticut." *College and Research Libraries*, September (1988): 442-447. Reports the findings of a survey of friends organizations in a three-state area. Describes their activities, fund raising, and future goals.

Letter Sent to Library Directors in Doctorate-Granting Institutions

(personally addressed and signed)

April 12, 1990

You and other academic librarians are faced with restricted budgets, rising materials costs, and erosion of the dollar. As a result, you may be exploring ways to raise supplementary funds to augment the regular library budget. We know that many academic libraries recover the costs of some services, sell items of various types, and get involved in fund raising and financial development. Little is available, however, to document the extent, nature, and success of these activities. We need your help in order to provide that information to the academic library community.

Please complete the enclosed questionnaire about your library's alternative sources of revenue in the most recently completed fiscal year. The sample has been stratified using categories in the 1987 "Carnegie Classification" and results will be reported accordingly. Respondents will receive a complimentary copy of the report.

The questionnaire has a control number for use in processing returns but your response is confidential. Individual libraries will NOT be identified in the report and we will NOT release information about any library without permission. You are asked to identify yourself so that we can call you if there are questions about the response.

The H.W. Wilson Foundation is supporting our work through a generous grant. By completing the enclosed questionnaire and returning it in the enclosed business reply envelope, you can support our work also. If you have any questions about the study, please contact Dr. Mary Jo Lynch, Director of the ALA Office for Research by phone at 800-545-2433 extension 4273 or by FAX at 312-440-9374.

Thank you very much for your cooperation.

Gratefully yours,

Linda Crismond
Executive Director, ALA

JoAn S. Segal
Executive Director, ACRL

P.S. Please return the questionnaire as soon as possible but certainly before May 4, 1990.

Letter Sent to Library Directors in Comprehensive, Liberal Arts, and Two-year Institutions

(with signatures added)

April 12, 1990

Dear Colleague:

You and other academic librarians are faced with restricted budgets, rising materials costs, and erosion of the dollar. As a result, you may be exploring ways to raise supplementary funds to augment the regular library budget. We know that many academic libraries recover the costs of some services, sell items of various types, and get involved in fund raising and financial development. Little is available, however, to document the extent, nature, and success of these activities. ALA needs your help to provide that information to the academic library community.

Please complete the enclosed questionnaire about your library's alternative sources of revenue in the most recently completed fiscal year. Because your library is one of a scientifically selected sample, your response is essential to the success of the study. The sample has been stratified using categories in the 1987 "Carnegie Classification" and results will be reported accordingly. Respondents will receive a complimentary copy of the report.

The questionnaire has a control number for use in processing returns but your response is confidential. Individual libraries will NOT be identified in the report and we will NOT release information about any library without permission. You are asked to identify yourself so that we can call you if there are questions about the response.

The H.W. Wilson Foundation is supporting our work through a generous grant. By completing the enclosed questionnaire and returning it in the enclosed business reply envelope, you can support our work also. If you have any questions about the study, please contact Dr. Mary Jo Lynch, Director of the ALA Office for Research by phone at 800-545-2433 extension 4273 or by FAX at 312-440-9374.

Thank you very much for your cooperation.

Gratefully yours,

Linda Crismond
Executive Director, ALA

Jo An Segal
Executive Director, ACRL

P.S. Please return the questionnaire as soon as possible but certainly before May 4, 1990.

Alternative Sources of Revenue for Academic Libraries

Notes:
1. Please answer all questions for the most recently completed fiscal year in your library. Where dollar amounts are requested, please round to the nearest hundred.
2. Please report for the library that you direct, plus all other libraries reporting to you.

A. Services, Sales, and Special Events

The purpose of this section is to find out what services library users pay for, how library user charges are handled in academic libraries, and how much money is available to libraries from those charges.

1. For each of the items listed below, please respond as follows:

Column 1: Circle Y (yes) or N (no) to indicate if the service or item is available in or through your library. Include all services offered either by the library or by another agent. ***If you circle N, move to the next item.***

Column 2: Circle Y (yes) or N (no) to indicate if ANY charges are EVER made to ANY patron or agency. Do not include deposits returned to user. ***If you circle N, move to next it. m.***

Column 3: If you circled Y in column 2, circle the appropriate code letter to indicate the practice in your institution for handling those funds.

- **R** = library receives these funds and an estimate of the amount is included in response to A.2
- **N** = library does not receive these funds
- **O** = neither of the above

		1 Available *Circle One*	2 Are Charges Ever Made? *Circle One*	3 Practice *Circle One*
a.	Borrowers cards and/or building use for non-primary clientele	Y N	Y N	R N O
b.	Reference/Research for non-primary clientele	Y N	Y N	R N O
c.	Sending material to other libraries			
	a. monographs	Y N	Y N	R N O
	b. journal articles	Y N	Y N	R N O
d.	Obtaining material from other libraries			
	a. monographs	Y N	Y N	R N O
	b. journal articles	Y N	Y N	R N O
e.	Facsimile Services			
	a. for interlibrary loan	Y N	Y N	R N O
	b. for other purposes	Y N	Y N	R N O
f.	Photocopies and/or Microform prints	Y N	Y N	R N O
g.	On Campus Document Delivery	Y N	Y N	R N O
h.	Vending Machines	Y N	Y N	R N O
i.	Special Events (e.g., concerts, dances, fairs, raffles)	Y N	Y N	R N O
k.	Audiovisual Production	Y N	Y N	R N O
l.	Workshops and/or Teleconferences	Y N	Y N	R N O
	Rentals/Loans (in or outside library)			
m.	Computer Software	Y N	Y N	R N O
n.	Videocassettes & Films	Y N	Y N	R N O
o.	Audio/Visual Equipment (e.g., projectors, players, recorders)	Y N	Y N	R N O
p.	Microcomputers and/or Typewriters	Y N	Y N	R N O

	Sales	1 Available	2 Charges Made?	3 Practice
q.	Withdrawn or Gift Books	Y N	Y	R N O
r.	T-Shirts and Mugs	Y N	Y	R N O
s.	Used Equipment	Y N	Y	R N O
	Other Charged Items ***(except those in Part B below)***			
t.	_____	Yes	Y N	R N O
u.	_____	Yes	Y N	R N O
v.	_____	Yes	Y N	R N O

2. Please **ESTIMATE** the dollar amount from the above sources used for the library's operating expenditures* in the latest fiscal year. If no dollars are available to the library, mark 0.

   $_____

B. Computerized Catalogs and Databases, Searching and Printing

This section has two purposes. The first is the same as the purpose of Section A. The second is to determine the extent to which students can obtain these services without charge. An additional column has been added in order to achieve the second purpose.

1. For each of the items listed below, please respond as follows:

Column 1: Circle Y (yes) or N (no) to indicate if the service or item is available in your library. If you circle N, move to the next item.

Column 2: Circle Y (yes) or N (no) to indicate if ANY charges are EVER made to ANY user. If you circle N, move to next item.

Column 3: If you circled Y in column 2, circle the appropriate code letter to indicate the practice in your institution for handling those funds.

- **R** = library receives these funds and an estimate of the amount is included in response to A.2
- **N** = library does not receive these funds and cannot provide an estimate
- **O** = neither of the above

Column 4: If you circled Y in Column 2, circle the appropriate letter code to indicate the extent to which students at your institution get the services without charge.

- **X** =All searching or printing is always free to all students
- **Y** =Searching or printing is never free to any student
- **Z** =Some searching or printing is free to some students

		1 Available	2 Are Charges Ever Made?	3 Practice	4 Charges to Students
a.	Online Catalog				
	a. Searching	Y N	Y N	R N O	X Y Z
	b. Printing	Y N	Y N	R N O	X Y Z
b.	Remote Databases (e.g., Dialog)				
	a. Searching	Y N	Y N	R N O	X Y Z
	b. Printing	Y N	Y N	R N O	X Y Z
c.	Locally mounted tapes				
	a. Searching	Y N	Y N	R N O	X Y Z
	b. Printing	Y N	Y N	R N O	X Y Z
d.	CD-ROM				
	a. Searching	Y N	Y N	R N O	X Y Z
	b. Printing	Y N	Y N	R N O	X Y Z

2. Please **ESTIMATE** the dollar amount from these sources used for the library's operating expenditures* in the latest fiscal year. If no dollars are available, mark "0."

   $_____

3. If you answered Yes to Column 2, please send us a copy of your charging schedule.

*See definition on page 4.

C. Fines and Replacement Charges

1. For each of the two categories, please respond as follows:

Column 1: Circle Y (yes) or N (no) to indicate if the charge is assessed in your library.

Column 2: Circle Y (yes) or N (no) to indicate if these funds are available for spending by the library.

		1 **Assessed?** *Circle One*	2 **Available to Library?** *Circle One*
a.	Fines	Y N	Y N
b.	Replacement costs	Y N	Y N

2. Please **ESTIMATE** the dollar amount from these sources used for the library's operating expenditures* in the latest fiscal year. If no dollars are available, mark "0."

$_____

D. Gifts and Grants.

1. List the amount received in the most recently completed fiscal year from each of the following sources. Do not list "in-kind gifts." Do not list additions to endowments. *(See Section E.)*

a. Federal grants $_____

b. State grants $_____

c. Foundation grants $_____

d. Other grants $_____

e. Institutional overhead from grants and contracts to other departments $_____

f. Gifts from corporations (non-endowment) $_____

g. Gifts from individuals (non-endowment) $_____

h. Friends of the Library (except for sales reported in A2 on page 2) $_____

i. Other (please specify below) $_____

2. Of the amounts **received** from gifts and grants, please **ESTIMATE** the dollar amount from these sources **used** for the library's operating expenditures* in the latest fiscal year.

$_____

E. Library Endowments

1. Total amount of dollars in library endowments. Report "book value" not "market value." $_____ If none, please mark "0."

2. Please **ESTIMATE** the dollar amount of library endowment interest used for the library's operating expenditures* in the latest fiscal year. $_____

F. Budget Summary

Note: Please answer all questions for the most recently completed fiscal year in your library.

1. What were your total operating expenditures*? $ _____

2. Which of the following statements describes how you receive most of the dollars you get from sources mentioned in Sections A–E of this questionnaire. *Check one.*

___ a. Dollars from sources mentioned in Sections A-E of this questionnaire are received **in addition to** an allocation from the parent institution.

___ b. Dollars from sources mentioned in Sections A-E of this questionnaire are received **as part of** an allocation from the parent institution.

___ c. Other (Please explain briefly.)

*See definition on page 4.

4. At any time during the past three years, has your allocation from the parent institution been reduced because of revenue to the library from alternative sources? *Check one.*
_____Yes _____No _____Don't know

G. Fund Raising–Financial Development

1. Has your library participated in a library development/library fund raising program in the past three years?
_____ Yes _____No
If **yes,** *continue with question 2. If* **no,** *skip to question 3.*

2. What was/were the stated purpose(s) of the library development or library fund raising program? *(Check as many as applicable.)*
____General purpose fund raising
____Building construction or renovation
____Funds for library materials only
____Funds for additional library staff only
____Funds for library equipment and furniture only
____Other. Please specify.

3. How many library or fund raising professionals (FTE) are paid to work on fund raising for your library? Include persons housed either in the library or elsewhere. **ESTIMATE** FTE of time devoted solely to library fund raising from each of the following budget sources:
_____the library budget _____the institutional budget

H. Additional Comments

Please use this space to add any comments that will help us understand your responses in particular or this topic in general.

A. Name of Respondent:** _____

B. Telephone number: _____

**Neither libraries nor individuals will be identified in the report of this survey. The name and phone number of the person responding are requested because we may need to contact him or her if we have questions about this return. The name of your library is given below so that we can avoid sending reminders to libraries who respond.

Operating Expenditures

The current and recurrent expenditures necessary to the provision of library service, such as personnel, library materials, binding, supplies, repair or replacement of existing furnishings and equipment, and cost incurred in the operation and maintenance of the physical facility (if covered in the library budget). Include expenditures involved in offering services described in Sections A and B and special projects funded by sources mentioned in Sections C through E.

Thank you very much.

Please return in the enclosed business reply envelope by May 4, 1990 to: Office for Research
American Library Association
50 E. Huron St.
Chicago, IL 60611

PLACE LABEL HERE

Technical Considerations

Mailing Procedure

Library directors in all doctorate-granting institutions received a personally addressed letter signed by both the Executive Director of ALA and the Executive Director of ACRL (see Appendix 1). Mailing lists from ARL and ACRL were used to produce those letters and mailing labels.

Two computer files were used to select the remaining 600 institutions. First, institutional names were selected from a diskette purchased from the Carnegie Institution that contained institutions coded by category and support. Using the federal FICE number as a link, address labels were produced from the latest "Institutional Characteristics" tape available from the National Center for Education Statistics (NCES). Added to the institutional address was the line "Attention: Library Director." Included was a "Dear Colleague" cover letter from the Executive Director of ALA and the Executive Director of ACRL (see Appendix 1).

Sample and Response

The original plan had been to select a random sample of both public and private institutions in all four categories. Table T1 shows the number of questionnaires mailed and the number of useable responses received. (In addition we received five responses that were not useable and six that were received too late to use.)

After studying the results, we decided not to include in this report data from the 18 public liberal arts institutions and data from the 23 private two-year institutions. Table T2 adjusts Table T1 in accordance with that decision and shows what was used for this report. Since private liberal arts colleges constitute almost 95% of the total according to Carnegie (see Appendix 4), it seems appropriate to report only on this group. We did send questionnaires to the other 5% but realized later that the 18 responses were too small a base for meaningful percentages in the report. The data are available, however, and Larry Hardesty's analysis is included here as Appendix 6.

Because private two-year schools do represent almost 30% of that total, it would have been better to gather a sample large enough for analysis. For several reasons, we failed to do that and it seemed best to drop this sub-category from the report. The data we have are available on request to the ALA Office for Research.

The validity of inferences from the sample reported here to the entire population of institutions varies by Carnegie category. It is highest for doctorate-granting institutions since virtually all were included in the sample and the response rate was high. Response rates were high in the other categories too, but the proportion of the total sampled makes inferences somewhat more tenuous, especially for two-year colleges.

Table T1. Mailout and Useable Response - Preliminary

Institution Type	Public			Private			GRAND TOTAL		
	Sent	Received		Sent	Received		Sent	Received	
	#	#	%	#	#	%	#	#	%
Doctorate-granting	134	105	78.4	78	55	70.5	212	160	75.5
Comprehensive	111	83	74.8	89	60	67.4	200	143	71.5
Liberal Arts	31	18	58.1	169	125	74.0	200	143	71.5
Two-Year	158	113	71.5	43	23	53.5	201	136	67.7
TOTALS	434	319	73.5	379	263	69.4	813	582	71.6

Table T2. Mailout and Useable Response - Final

Institution Type	Public			Private			GRAND TOTAL		
	Sent	Received		Sent	Received		Sent	Received	
	#	#	%	#	#	%	#	#	%
Doctorate-granting	134	105	78.4	78	55	70.5	212	160	75.5
Comprehensive	111	83	74.8	89	60	67.4	200	143	71.5
Liberal Arts				169	125	74.0	169	125	74.0
Two-Year	158	113	71.5				158	113	71.5
TOTALS	403	301	74.7	336	240	71.4	739	541	73.2

The Carnegie Classification of Institutions of Higher Education

The Carnegie Classification involves nine categories, eight of which were collapsed by Carnegie into the four used for this study. The category we did not include was "Specialized Institutions," which includes 642 institutions that offer degrees ranging from the bachelor's to the doctorate, at least 50% of which are in a single specialized field. There are ten subdivisions of this category including "theological seminaries, Bible colleges, and other institutions offering degrees in religion" and "Schools of art, music, and design."

The eight categories used for our sample included the four levels of "Doctorate-granting Institutions," the two levels of "Comprehensive Colleges and Universities," the two levels of "Liberal Arts Colleges," and "Two-year Institutions." For details on the criteria for each category, see the "Definitions" section of the publication cited in the source note for Table T3, which gives the number of private and public institutions in each of the four categories as of 1987 and the percentage in each category that is public.

Table T3. Summary of Carnegie Classification

Type of Institution	Number of Institutions			
	Total	Private	Public	
		#	#	%
All	3,389	1,841	1,598	45.7
Doctorate-granting	213	79	134	62.9
Comprehensive Colleges and Universities	595	264	331	55.6
Liberal Arts Colleges	572	540	32	5.6
Two-Year Institutions	1,367	382	985	72.1
Specialized Institutions	642	576	66	10.3

Source: Based on Table 4 in *A Classification of Institutions of Higher Education*, Princeton, N.J.: Carnegie Foundation for the Advancement of Teaching, 1987. (Available from Princeton University Press.)

Percent Distribution of Current Fund Revenues: Fiscal Year 1986

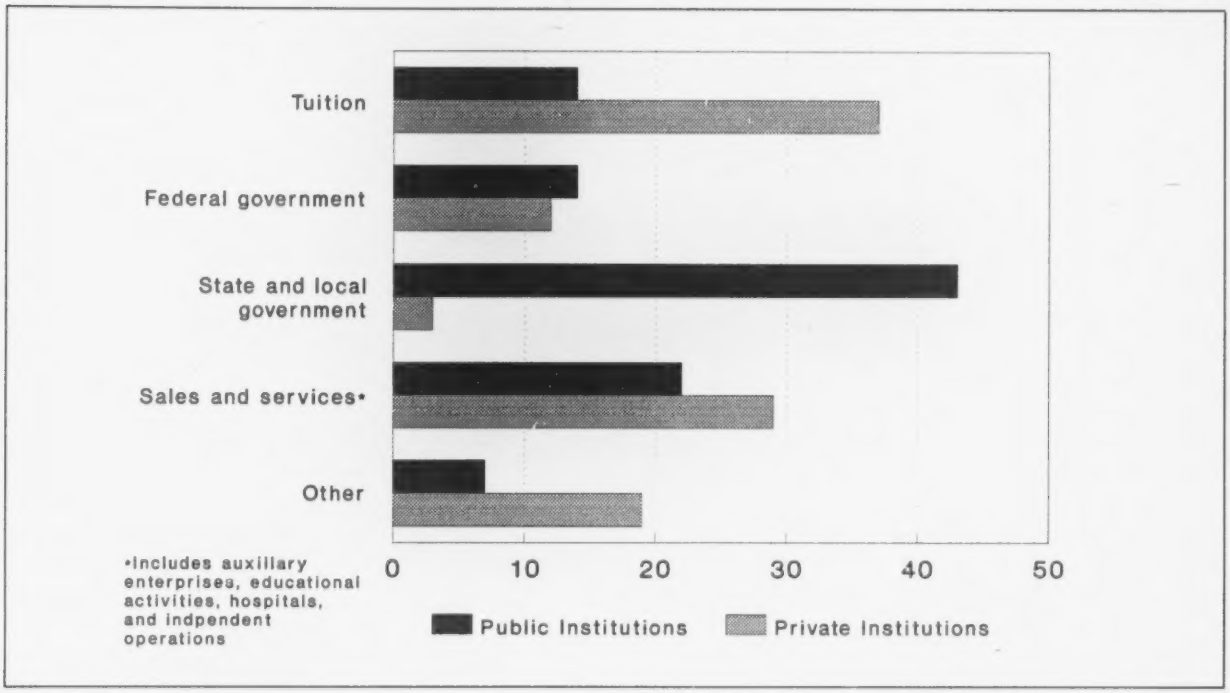

Figure 13. Four-Year institutions

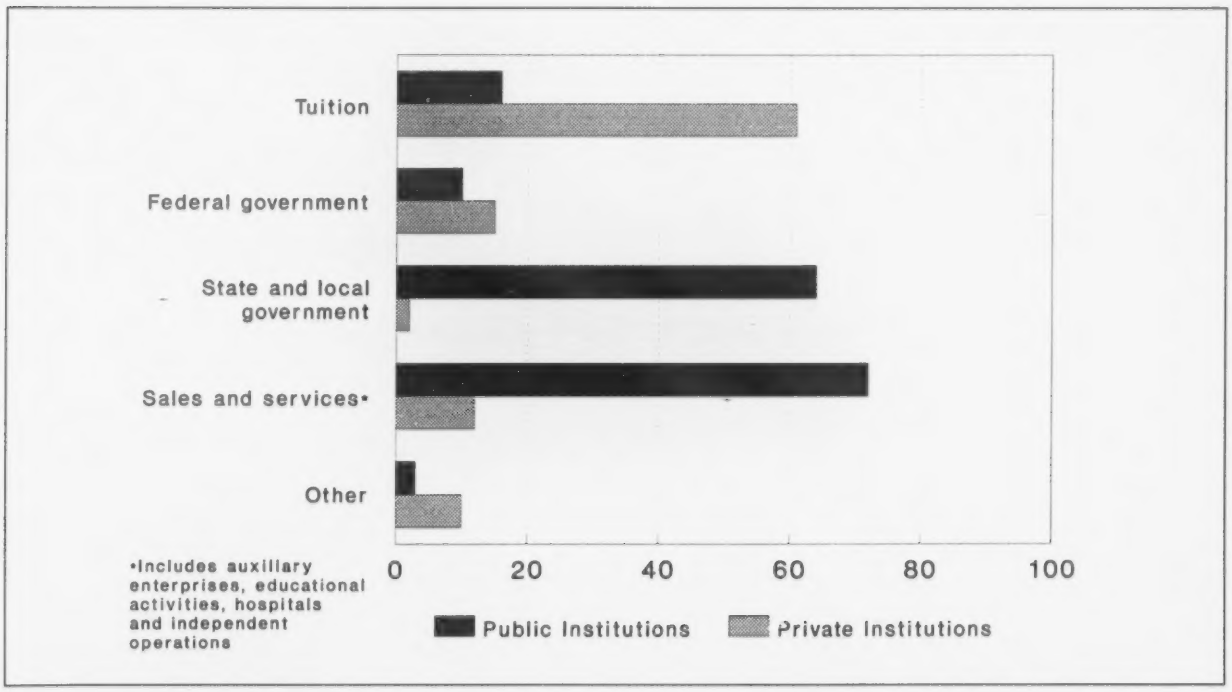

Figure 14. Two-year institutions

Source: Current Funds Revenues and Expenditures in Institutions of Higher Education: Fiscal Years 1983-86. Center for Education Statistics Bulletin, February 1988. U.S. Department of Education, Office of Educational Research and Improvement, CS88-258b.

Liberal Arts College Libraries: A Comparison of Responses from Public and Private Institutions

by Larry Hardesty

Eighteen public liberal arts libraries responded to the survey. Because of the small number which makes percentages deceptive, the similarities of their responses to the private liberal arts libraries, and the need to save space, we have not included their responses in the tables. Nevertheless, a few of the differences between the public and private liberal arts libraries do merit discussion. This Appendix describes those differences. Data are available upon request to the American Library Association, Office for Research.

Almost all of the public liberal arts libraries (94%) offered facsimile services for interlibrary loan as compared with less than two-thirds (61%) of the private liberal arts libraries. In this respect, the public liberal arts libraries are more similar to libraries at public doctorate-granting and public comprehensive institutions (94% and 84%, respectively) than libraries at private liberal arts institutions. This may reflect participation by the public liberal arts libraries in publicly supported statewide interlibrary loan networks.

Public liberal arts college libraries may have to offer some services to non-primary clientele without being able to charge for them directly. For example, all the public liberal arts libraries offered borrower cards and/or building use for non-primary clientele, but only 11% received the funds from charging for these services. This is compared with 28% of the private liberal arts libraries who charged and kept the charges for the same services.

More than twice the percentage of public liberal arts libraries (78%) than private liberal arts libraries (33%) reported they offered searching of online catalogs. The percentage of public liberal arts colleges offering CD-ROM searching (83%) exceeded by a considerable margin the percentage of private liberal arts colleges who offered this service (58%).

The percentage of public liberal arts libraries reporting no income from services, sales, and special events (61%) was almost twice the percentage of private liberal arts libraries in that situation (35%). Public liberal arts colleges also tended to report that income from gifts and grants and endowments contributed a smaller percentage of their operating expenditures.

These differences probably reveal the advantages and constraints that these libraries have as recipients of public funds. Public funds may allow the public liberal arts libraries to offer services not offered by the private liberal arts colleges. On the other hand, public liberal arts colleges may not be allowed to charge or to keep the charges for certain services. Despite these few exceptions, the response pattern of public liberal arts libraries closely resembled the response pattern of private liberal arts libraries.

ISBN 0-8389-5742-9